State of Hawaii

Race to the Top
State Monitoring Plan

Submitted to the
U.S. Department of Education

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Hawaii Department of Education

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A. ALLOCATION OF FUNDS

The State of Hawaii made ambitious commitments and assurances to the United States Department of Education (USDOE) to implement a bold reform plan. Hawaii's commitments were supported broadly by the community, but the key signatories were the Governor, Superintendent of Education, and Board of Education Chairperson. The federal grant funds through Race to the Top (RTTT) supports Hawaii's Common Education Agenda -- shared targets for increasing academic rigor and achievement from early childhood education through lifelong learning. This Common Education Agenda sets performance outcomes and key strategic actions which provided the structure for the RTTT plan. Implementing RTTT plans requires significant coordination and monitoring between the Governor, Superintendent, and the Board of Education (BOE).

To meet the commitments and assurances made in Hawaii's RTTT plan and the terms and conditions of the grant award, the Governor's Office and the Hawaii Department of Education (HIDOE) entered into a Memorandum of Agreement (MOA) in March 2011. The MOA delineates the roles and responsibilities for the RTTT grant award to reflect the Governor as the grantee but the HIDOE as the primary implementing agency. The MOA identifies HIDOE's accountability and oversight responsibilities for RTTT program funds.

Hawaii's RTTT plan describes and provides resources to establish and staff the Office of Strategic Reform (OSR). OSR is supervised by the Executive Assistant for Strategic Reform (EASR) who reports to the Superintendent of Education and is responsible for project management oversight of strategic initiatives. OSR includes "portfolio managers" for each assurance area that are deployed to support strategic projects involving multiple state offices and requiring cross-functional solutions. Under the guidance of EASR, the portfolio managers provide consulting, evaluation, and strategic planning services that focus on critical deliverables within HIDOE's plan. Portfolio managers are paired with project sponsors who champion the projects at the executive level and in their role as supervisors; project sponsors are the Superintendent, Deputy Deputy or Assistant Superintendents of related content and are all members of SPOC.

The RTTT plan is elaborated in a series of project agreements which have been approved and are reviewed by the HIDOE's Strategic Project Oversight Committee (SPOC). The Superintendent, Deputy Superintendent, Executive Assistant for Strategic Reform, and five Assistant Superintendents (Office of Human Resources, Office of Curriculum, Instruction and Student Support, Office of Information Technology Services, Office of Fiscal Services, and the Office of School Facilities and Support Services) comprise this committee.

A project manager is responsible for development and execution of a project agreement. There are 20 project managers and 27 project agreements associated with the State's RTTT plan. Five portfolio managers provide support and oversight for projects within respective assurance areas. The project managers meet twice a month for guidance and coordination. The deliverables and timelines in the project agreements are documented in Hawaii's Scope of Work approved by USDOE on March 22, 2011.

Requirement: The State allocated funds to participating LEAs (Projects) based on their relative share of funding under Title I, Part A of the Elementary and Secondary Education act of 1965

Questions	Response/Attachments
• State level (Governor's Office): What guidance did the State provide about the accountability and oversight responsibilities associated with RTTT Funds?	The March 2011 Memorandum of Agreement between the Governor of the State of Hawaii and the Hawaii Department of Education provides guidance relating to accountability and oversight responsibilities associated with RTTT funds. *Memorandum of Agreement (MOA) between the Governor of the State of Hawaii and the Hawaii Department of Education (See Attachment A1)*
• HIDOE: What guidance did the Hawaii Department of Education (HIDOE) provide to projects about the accountability and oversight responsibilities associated with RTTT Funds?	The Executive Assistant for Strategic Reform (EASR) held the first mandatory RTTT Project Manager meeting on December 9, 2010. Beginning in January 2011, Project Manager meetings were scheduled twice per month through March 2011. These intensive agendized meetings allow the HIDOE (via EASR) to share valuable information related to program and fiscal accountability as well as to provide dedicated time for project managers to work individually and collaboratively across offices and projects. Project Manager meetings have been scheduled for the first Friday each month beginning in April 2011 through December 2012. The project managers are familiar with the fiscal accountability and oversight responsibilities associated with state and federal funds. At the project managers' meetings, information about accountability and oversight responsibilities with respect to the State's procedures are reviewed. Any additional information about new state responsibilities and procedures as well as RTTT-specific responsibilities and procedures are also discussed and reviewed.

	For example, project managers' meetings have included information on the role and purpose of the Strategic Project Oversight Committee (SPOC). All SPOC members attend the Project Manager meetings and on one occasion a live demonstration of a mock SPOC meeting was presented to familiarize project managers with the process. SPOC meets on a weekly basis every Monday morning to vet and approve project plans and to discuss any major systemic challenges. *RTTT Project Manager Meeting Schedule (See Attachment A2)* *Strategic Project Oversight Committee (SPOC) meetings (See Attachment A2)*
• What is the LEA's (Projects) total RTTT allocation?	$74,934,761 *Grant Award Notification (See Attachment A3)*
Documentation	
1. Allocation and disbursement information • State level (Governor's office)	The Governor's Office requested that the USDOE make HIDOE the payee for RTTT since HIDOE was identified as the expending agency for RTTT budget expenditures in the RTTT plan and Scope of Work. *Letter dated February 9, 2011 from Governor Abercrombie to Melissa Siry (See Attachment A4)* *Email on February 17, 2011 from USDOE to EASR indicating the change in the payee (See Attachment A5).*
• HIDOE level	The HIDOE Allocation Notices describe the authorization for the funds, purpose, rationale, for allocation guidelines for implementation (including payroll certification), details as to which organizations are receiving funds, and key performance indicators. Allocation notices reflect the budgets and purposes identified in the project agreements and approved by SPOC. *HIDOE Allocation Notices (See Attachment A6)*
2. LEA (Project) budgets for scope of work activities	Based on the draft Scope of Work (subsequently approved by USDOE on March 22, 2011), detailed project agreements for all 27 RTTT projects were created. Project Budget Summaries are reflected in Section 10 of the detailed project agreements and require that the project plans explain and chronicle all personnel, training expenses, materials, supplies, hardware, software, facilities and other resources necessary to achieve the stated scope and objectives.

	HIDOE Project Agreements, Section 10 – Project Budget Summary (See Attachment A7) *RTTT Distribution Flow (See Attachment A8)* *FY2011BD-2 Template (See Attachment A9)*

B. FISCAL MANAGEMENT *(EDGAR 80.20, 80.21, and ARRA Sections 14002(b), 14003, 14004, 1604, 1605, and 1605)*

Hawaii's approved RTTT Scope of Work calls for five assurance areas to drive and implement key reform strategies (See table below). Each assurance area has an assurance level budget, which was detailed to project-level budgets associated with 27 RTTT-related project plans. The *Alignment and Performance Monitoring of Organizational Functions to Support Reform Outcomes* (under Assurance A) project team serves as the overall project management function for the HIDOE Reform Agenda. Each of the other four core strategies is specifically related to the four education reform areas cited in the American Recovery and Reinvestment Act (ARRA) of 2009. The alignment between the HIDOE Reform Agenda and the RTTT selection criteria is shown in the table below:

Race to the Top Assurance Areas	Hawaii Reform Agenda
A. State Success Factors	Alignment and Performance Monitoring of Organizational Functions to Support Reform Outcomes
B. Standards and Assessments	High Quality Standards and Assessments tied to a Statewide Curriculum
C. Data Systems to Support Instruction	Improve Longitudinal Data Collection and Use
D. Great Teachers and Leaders	Cultivate, Reward, and Leverage Effective Teaching and Leading
E. Turning Around the Lowest-Achieving Schools	Provide Targeted Support to Struggling Schools and Students

The five assurance area budgets were detailed to the project level. In addition to creating individual project codes (PROG IDs), HIDOE has internally assigned colors to each of the five assurance areas. As of April 2011, there are 27 RTTT projects within the five assurance areas. Some of the projects have been organized into different assurance areas from the RTTT proposal and budget. To maintain consistency with the USDOE approved RTTT Scope of Work and budget, projects continue to be coded with the approved plan, as evidenced in documents such as the RTTT Fund Distribution Chart and RTTT Program ID and ORG ID table since budget audits will be based on approved USDOE assurance areas, although a project may be managed within a different project portfolio.

RTTT fund notifications are sent to the project sponsors (Superintendent, Deputy Superintendent, Assistant Superintendent for the Office of Human Resources, Assistant Superintendent for the Office of Curriculum, Instruction and Student Support, and the Assistant Superintendent for the Office of Information Technology Services), who are responsible, with assistance of portfolio managers, for distributing the funds down to the projects. The annual budget details will be sent to the project sponsor by the Office of Strategic Reform and written in the Budget Allocation Notices.

If a project has moved from the original assurance area to another assurance area, the project sponsor will be responsible to shift the project funds from their assurance area to the appropriate project that has moved into a different assurance area.

Further, the five RTTT assurances define the goals of the grant and are documented in the USDOE approved Scope of Work. Based on the USDOE approved Scope of Work for Hawaii, each project agreement is reviewed and approved by SPOC. As stated earlier in Section A, Allocation of Funds, the Superintendent, Deputy Superintendent, Executive Assistant for Strategic Reform, and five Assistant Superintendents (Office of Human Resources, Office of Curriculum, Instruction and Student Support, Office of Information Technology Services, Office of Fiscal Services, and the Office of School Facilities and Support Services) comprise this committee.

Based on SPOC's approval of the individual project plans, each project manager is required to prepare an expenditure plan with Object of Expenditure details. The HIDOE Office of Fiscal Services' Budget Branch compares the expenditure plans to the approved project plans, to verify that the totals agree, and that the details match. That expenditure plan is then inputted into the HIDOE's Budget System and electronically loaded into the Financial Management System (FMS). As expenditures are made, financial reports are then provided, which compare the expenditures to the expenditure plans. These reports are part of the HIDOE's new web-based Financial Reporting System (FRS). The data and reports are available on demand at any time. Each Project Manager is responsible to ensure the expenditures are consistent with the expenditure plans. These reports are also viewable by the SPOC, and are accessible to the HIDOE Internal Audit Office, who report to the Superintendent.

In accordance with OMB Circular A-87 and RTTT guidance, HIDOE ensures that any salaries or wages charged to RTTT are supported by periodic certifications that the employees worked on that federal grant. See Attachments B4 and B5 for examples of those payroll certifications, for personnel working solely on RTTT; and for personnel working in multiple programs.

Approximately every five weeks, the project sponsor and project managers for each assurance area must present the status of each project to the SPOC, including costs incurred in relation to the expenditure plans. The SPOC reviews the data presented, and is able to address items to ensure that costs are allowable.

Requirement: The State is practicing fiscal responsibility and administering the use of Race to the Top funds (both internally and externally with LEAs and contractors) to ensure compliance with Federal regulations and prevent fraud, waste, and abuse.

Questions	Response/Attachments
■ What internal controls does the HIDOE have in place to ensure that Race to the Top expenditures are allowable?	See Narrative above for a description of the internal controls process. *RTTT Documentation Plan Flowchart (See Attachment B1)* *Standards of Practice 0404 - Payroll Document Requirements (See Attachment B2)* *Payroll Certification FAQs (See Attachment B3)* *Payroll Certification For Single Program (See Attachment B4)* *Payroll Certification for Multiple Programs (See Attachment B5)*
■ How does the HIDOE ensure that it complies with the principles of cash management (i.e. ensuring that funds are used to meet immediate obligation needs, within 3-5 days)?	HIDOE will use the Federal G5 Drawdown System to draw funds for the RTTT grant. The frequency of the Letter of Credit (LOC) drawdown for the G5 system is done at a minimum of two cash withdrawals weekly to meet the federal grant requirements that cash balance on hand not exceed the balances needed for three business days. If the LOC scheduled drawdown does not meet the federal grant program requirements, additional LOC draw downs may be made as needed. *RTTT Drawdown Procedure for Federal Grants (See Attachment B6)* *G5 Drawdown Summary (See Attachment B7)* *SF 270 – Request for Advance or Reimbursement (See Attachment B8)*
■ How does the HIDOE's financial recordkeeping system account for the use of Race to the Top funds?	The HIDOE's financial recordkeeping system includes a RTTT Chart of Accounts with description, Program ID numbers, and Code Structures. This Chart is only for RTTT Program IDs and is segregated from all other funds. In addition, the Chart of Accounts is structured so that expenditures for each of the 27 RTTT projects are segregated, and that the projects are grouped and can be summarized into the five (5) assurances. The portfolio manager for administration will produce a monthly report comparing budget to

Questions	Response/Attachments
	actuals by project, assurance area, and for the entire grant. *RTTT Chart of Accounts (See Attachment B9)* *RTTT Project Manager Meeting Schedule (See Attachment A2)*
■ What guidance has the HIDOE received from the State regarding the obligation and drawing down of Race to the Top funds?	*Memorandum of Agreement, Section III, Release of Funds (See Attachment A1)*
■ How were Race to the Top funds received (or requested for reimbursement) from the State?	The Prime Recipient for the RTTT grant is the State of Hawaii Governor's Office. However, the HIDOE worked with the Governor's Office to request the USDOE to transfer the payee status from the Governor's Office to the HIDOE. This request was sent to USDOE on February 9, 2011. On February 17, 2011, HIDOE received e-mail confirmation from Ms. Melissa Siry, USDOE, that the payee was changed from the State of Hawaii Governor's Office to the HIDOE. Accordingly, the HIDOE has the procedures in place to process drawdowns directly from the USDOE, via the G5 System, for the RTTT grant funds, on a reimbursement basis, as specified in the Memorandum of Agreement (MOA) with HIDOE and the State of Hawaii. *RTTT Documentation Plan Flowchart (See Attachment B1)* *Letter dated February 9, 2011 from Governor Abercrombie to Melissa Siry (See Attachment A4)* *Email on February 17, 2011 from USDOE to EASR indicating the change in the payee (See Attachment A5).*
■ How are Race to the Top revenues and expenditures tracked separately (please identify any Race to the Top specific codes)?	The HIDOE's financial recordkeeping system includes a RTTT Chart of Accounts that includes a description, Program ID numbers, and Code Structures. This Chart is only for RTTT Program IDs and is segregated from all other funds. *RTTT Chart of Accounts (See Attachment B9)*
Documentation:	
1. The State Chart of Accounts identifying all Race to the Top related fund, program, and	The HIDOE's financial recordkeeping system includes a RTTT Chart of Accounts that includes a description, Program ID numbers,

Questions	Response/Attachments
account codes.	and Code Structures. This Chart is only for RTTT Program IDs and is segregated from all other funds. *RTTT Chart of Accounts (See Attachment B9)*
2. A summary report of the Race to the Top revenues evidencing that the revenues have been tracked with unique fund codes.	The HIDOE's financial recordkeeping system includes a RTTT Chart of Accounts that includes a description, Program ID numbers, and Code Structures. This Chart is only for RTTT Program IDs and is segregated from all other funds. The 1.0 RTTT Grant Status Report (Attachment B10) shows all revenues for RTTT based on the G5 drawdowns, with the unique fund codes. *RTTT Chart of Accounts (See Attachment B9)* *1.0 RTTT Grant Status Report (See Attachment B10)*
3. Expenditure reports to demonstrate tracking of Race to the Top funds to allowable (project-based and approved) costs.	After the Expenditure Plan is inputted (reference section A. ALLOCATION OF FUNDS, 2. LEA budgets for scope of work activities), Report 3.8 "Detail of Operating Expenditures: Budget Versus Actual; Variances; and Balances" can be generated via the HIDOE's web-based Financial Reporting System (FRS). The Expenditure Plan is the Annual Budget; the Current Month Budget is Annual Budget divided by 12; the Year-to-date (YTD) Budget is the Current Month times the number of months in the fiscal year. The 1.0 and 3.8 reports can be generated daily, if desired; non-salary data is updated to the report data warehouse daily; salary data is currently updated monthly. The revenues and expenditures for all RTTT projects are summarized on report 1.0 "Grant Status by Grant Number." Note: At the time of this documentation the only project expenditures have been for salary and fringe costs; no encumbrances or other payments have been posted. *3.8 Detail of Operating Expenditures (See Attachment B11)* *1.0 RTTT Grant Status Report (See Attachment B10)*

Questions	Response/Attachments
4. Expenditure reports that demonstrate compliance with cash management principles. *(i.e. ensuring that funds are used to meet immediate obligation needs, within 3-5 days)*	*3.8 Detail of Operating Expenditures (See Attachment B11)* *RTTT Drawdown Procedures for Federal Grants (See Attachment B6)* *G5 Drawdown Summary (See Attachment B7)* *SF 270 – Request for Advance or Reimbursement (See Attachment B8)*
5. Alignment of spending to proposed and approved budget.	*3.8 Detail of Operating Expenditures (See Attachment B11)* *1.0 RTTT Grant Status Report (See Attachment B10)*
6. Evidence of use of funds only during the period of allowability.	The HIDOE ensures that the use of funds are allowable only prior to the Obligation Lapse Date and the Last Draw columns as reflected in the RTTT Chart of Accounts. *RTTT Chart of Accounts (See Attachment B9)*
■ **For the account that the RTTT funds are residing in at the State level, provide:**	
1. Documentation (i.e. monthly or quarterly bank statement, report from State Treasury account) evidencing whether or not the account is an interest bearing account.	Pursuant to the MOA between the Governor's Office and HIDOE, the HIDOE will draw down funds on a reimbursement basis only based upon the approved scope of work. Draw downs will be authorized by the Superintendent and follow HIDOE"s internal procedures. Accordingly, RTTT funds will not be deposited into any interest-bearing accounts *Memorandum of Agreement, Section III, Release of Funds (See Attachment A1)*
2. An example of evidence of receipt of RTTT funds drawn down from G5 (e.g. wire transfer, cash receipt form, bank statement) into a non-interest bearing account.	As of Monday, April 25, 2011, the HIDOE has not drawn down any funds. The HIDOE's first draw down is currently being reviewed by Superintendent for approval. *RTTT Drawdown Procedures for Federal Grants (See Attachment B6)* *G5 Drawdown Summary (See Attachment B7)*
3. Evidence of corresponding outlay of RTTT funds from the State's account to allowable expenditures, including subrecipient accounts	As of Monday, April 25, 2011, the HIDOE has not submitted expenditures, including subrecipient accounts. *3.8 Detail of Operating Expenditures (See Attachment B11)*

Questions	Response/Attachments
Additional LEA Documentation **Documentation:** ▪ From the LEA's accounting system: □ The Chart of Accounts identifying all Race to the Top related fund, program, and account codes.	*Chart of Accounts (See Attachment B9)*
□ An example of a General Ledger report of revenues showing the fund, account, or program code that has been designated specifically as Race to the Top revenues.	*1.0 RTTT Grant Status Report (See Attachment B10)*
□ An example of a General Ledger report of expenditures showing the fund, account, or program code that has been designated specifically as Race to the Top expenditures.	*3.8 Detail of Operating Expenditures (See Attachment B11)* *G5 Drawdown Summary (See Attachment B7)*
▪ If funds were received on a <u>reimbursement basis</u>, please provide: □ An example of a request for reimbursement form previously submitted to the State and the corresponding Race to the Top obligations of those funds totaling the amount received (e.g. expenditure report).	*SF 270 – Request for Advance or Reimbursement (See Attachment B8)*
□ For the example reimbursement request form provided, the corresponding evidence of receipt of funds (e.g. wire transfer, cash receipt form, bank statement) from the State.	*G5 Drawdown Summary (See Attachment B7)* *RTTT Drawdown Procedure for Federal Grants (See Attachment B6)*
▪ If funds were <u>received as an advance</u>, please provide: An example receipt of Race to the Top funds (e.g. wire transfer, cash receipt form, bank statement) into a non-interest bearing account and corresponding SFSF obligations of those funds totaling the amount received (e.g. expenditure report).	*G5 Drawdown Summary (See Attachment B7)* *SF 270 – Request for Advance or Reimbursement (See Attachment B8)*

C. <u>PROGRAMMATIC (SUBRECIPIENT) MONITORING</u> *(EDGAR 80.40)*

The HIDOE is poised to reconfigure itself to align with the major elements of its education reform plan. As a single, statewide school system, the Department operates as both the State Education Agency (SEA) and the Local Education Agency (LEA). Additionally, Hawaii funds schools through legislative allocation of State general funds. Thus, education dollars are allocated centrally, but are implemented through a weighted student formula funding model to ensure that resources follow students and can be directed strategically by schools. These governance and funding mechanisms enable Hawaii's public schools system to leverage reform through strategic direction and reallocation of resources.

Successful reconfiguration requires the HIDOE to change how it approaches human resource management, information technology, curriculum, student support, resource allocation, and performance management. The HIDOE is committed to aligning resources--time, funds, and people--to the plan of action and have already begun the process of redefining and reorganizing the central offices to carry out strategic reforms.

The HIDOE implemented a Balanced Scorecard (BSC) method of management to monitor progress toward accomplishing HIDOE Strategic Plan goals and to align strategic planning throughout the organization to achieve these goals. The BSC is monitored by SPOC and is responsible for implementing strategies to achieve Strategic Plan goals, create projects to carry out the named strategies and assign indicators to the BSC to track the progress of these strategies.

The SPOC performs oversight of state-level projects by reviewing the leading and lagging indicators on the BSC on a regular basis. The SPOC also reviews the strategies and measures selected to ensure their continued validity toward accomplishing state goals. If a strategy is not succeeding or if a measure is no longer valid, the SPOC will replace or adjust the strategy or measure as necessary.

Complex area and school level BSCs will also be created. Additionally, Project Management Oversight Committees (PMOC) will be established to create and oversee the strategies and processes developed at each management level. The PMOCs will perform the same functions as the SPOC, including developing indicators for their BSC. Complex area level strategic planning will address how to incorporate HIDOE’s strategies indicated on the State’s BSC into their planning process. Similarly, each school will address how they will incorporate their complex area strategies into their strategic planning.

HIDOE’s balanced scorecard is a tool for internal and external communication regarding HIDOE’s efforts and progress toward the Strategic Plan objectives and goals. By continually providing updated data through the use of the leading and lagging indicators on the BSC, the overall status on HIDOE’s projects is easily understood.

Requirement: The State's monitoring strategy includes all components (Race to the Top-specific monitoring plan, protocols, and schedule for all subrecipients, vendors, and contractors)

Questions	Response/Attachments
• Has the HIDOE been monitored by the State-level (Governor's Office)? If so, when? If not, has the HIDOE been notified of when it will be monitored?	*Memorandum of Agreement (MOA) between the Governor of the State of Hawaii and the Hawaii Department of Education (See Attachment A1)*
• Did the State-level (Governor's Office) provide the HIDOE with a copy of its monitoring instruments?	*Memorandum of Agreement (MOA) between the Governor of the State of Hawaii and the Hawaii Department of Education (See Attachment A1)* *Monitoring – Governor's Office (See Attachment C1)* *Hawaii ARRA Accountability System Manual (See Attachment C2)* *ARRA 1512 Reporting Period Memo (See Attachment C3)*
• If the HIDOE has been monitored by the State-level (Governor's Office), what issues did the Governor's Office discuss during its monitoring? What recommendations did the Governor's Office make?	*Monitoring – Governor's Office (See Attachment C1)*
• What actions has the HIDOE taken in response to any monitoring recommendations?	The HIDOE will properly document any actions taken in response to monitoring recommendations from the Governor's Office. Recommendations will be reviewed by the SPOC (including Superintendent) and corrective actions will be reported to the Governor's Office in the subsequent monthly meeting.
• Has the HIDOE monitored the RTTT projects?	The HIDOE implemented a Balanced Scorecard (BSC) method of management to monitor progress toward accomplishing HIDOE Strategic Plan goals and to align strategic planning throughout the organization to achieve these goals.

Questions	Response/Attachments
	The RTTT Project Managers Weekly Report is submitted to the HIDOE (Superintendent and Deputy Superintendent) and the Governor's Office (Education Policy Analyst) by the Office of Strategic Reform (OSR). RTTT Project Managers submit answers to the following three questions to OSR by noon on the second to the last work day of the week. 1) What happened with the project this past week? What actions were completed this week to move the project forward? 2) What is coming up on the project deliverables/milestones? What is being done? 3) What are current issues/challenges that the project is facing? How are the issues/challenges being dealt with? OSR compiles the answers and adds a summary page which may include a management comment written by EASR. The report is distributed to the HIDOE (Superintendent and Deputy) and Governor's Office (Education Policy Analyst) and filed in Sharepoint. OSR is reviewing reporting requirements for the RTTT Project Managers Weekly Report and other reports in order to simply the multiple reporting requirements. *Project Management Process (See Attachment C4)* *RTTT Project Managers Weekly Report (See Attachment C5)* *RTTT Project Agreement Deliverable Status (See Attachment C6)* *DOE SPOC Issue/Resolution Matrix (See Attachment C7a)* *RTTT Grant Monitoring Schedule (See Attachment C9)*

Questions	Response/Attachments
	BSC Process (See Attachment C8) *BSC Working Document (See Attachment C9)* *Aligned Planning (Academic and Financial Plan/Strategic Plan/Balanced Scorecard Project Agreement (See Attachment C10)* *Accountability Framework Project Agreement (See Attachment C11)*
Documentation	
Race to the Top-specific monitoring plan, protocols, and schedule for all subrecipients, vendors, and contractors.	*Project Management Process (See Attachment C4)* *RTTT Project Managers Weekly Report (See Attachment C5)* *RTTT Project Agreement Deliverable Status (See Attachment C6)* *DOE SPOC Issue/Resolution Matrix (See Attachment C7a)* *RTTT Grant Monitoring Schedule (See Attachment A2)* *BSC Process (See Attachment C8)* *BSC Working Document (See Attachment C9)* *Aligned Planning Academic and Financial Plan/Strategic Plan/Balanced Scorecard Project Agreement (See Attachment C10)* *Accountability Framework Project Agreement (See Attachment C11)*
Evidence that HIDOE's monitoring strategy outlines its ability to: ▪ Assess Projects' progress and alignment to their scopes of work, determine the quality of Projects' implementation through established methods, tools, and processes, and identify and work to mitigate potential obstacles and/or risks that could impact the HIDOE's ability to achieve its goals. ▪ Monitor grant and subgrant activities to assure compliance with applicable Federal	After the Expenditure Plan is inputted *(See Attachment A9 FY2011 BD-2 Template)* Report 3.8 "Detail of Operating Expenditures: Budget Versus Actual; Variances; and Balances" can be generated *(See Attachment B11)*. The Expenditure Plan is the Annual Budget; the Current Month Budget is Annual Budget divided by 12; the Year-to-Date (YTD) Budget is the Current Month times the number of months in the fiscal year. The expenditures for all RTTT projects are summarized on report 1.0 "Grant Status by

Questions	Response/Attachments
requirements; and	Grant Number." *(See Attachment B10)* Note: At the time of this documentation the only project expenditures have been for salary and fringe costs; no encumbrances or other payments have been posted. *3.8 Detail of Operating Expenditures (See Attachment B11)* *1.0 RTTT Grant Status (See Attachment B10)* *Project Management Process (See Attachment C4)*
☐ Sample monitoring reports and corrective action follow-up.	Currently not applicable
Documentation (subrecipient)	
☐ A copy of the State's monitoring report(s) for the entity, to date (if applicable). ☐ Documentation evidencing corrective actions taken by the entity, in response to the State's monitoring recommendations (if applicable). ☐ A copy of the entity's response to the State, resolving any findings (if applicable). ☐ A copy of audits covering the Race to the Top program (if applicable).	Currently not applicable Currently not applicable Currently not applicable Currently not applicable

D. QUARTERLY ARRA SECTION 1512 REPORTING

In accordance with the Office of Management and Budget (OMB) and USDOE guidance on reporting under Section 1512 of ARRA, the HIDOE prepares the Recipient Reporting Data Model Excel spreadsheet format, and submits the spreadsheet to the State of Hawaii Department of Budget and Finance (B&F), which is the Budget arm of the Governor's Office, which in turn uploads the spreadsheet to the web-based FederalReporting.gov website, by the required quarterly deadlines.

The HIDOE, using its chart of accounts segregating RTTT funds, compiles the RTTT expenditure data in its Financial Management System (FMS). After quarter-end, the data is downloaded from the FMS System, and the data is sorted into the various reporting elements as required for the Section 1512 report:

- Revenues, based on G5 drawdowns as of quarter-end;
- Payroll costs, converted to hours worked, for the quarter only; and
- Non-payroll costs, sorted by:
  - Vendor payments $25,000 or more;
  - Payments and counts of payments less than $25,000; and
  - Total cumulative expenditures since grant inception.

For "jobs created or saved," the payroll hours are converted to FTEs for the quarter only, in accordance with OMB and USDOE guidance – based on hours normally worked for the quarter.

Attached are:

- Examples of the Section 1512 report; and
- Supporting payroll worksheets. (So far, there have been no non-payroll costs charged to RTTT at this time; therefore, there are no RTTT non-payroll worksheets at this time.)

Expenditures of SFSF and other ARRA funds are tied to assurances shared with the RTTT plan and initiatives. In order to monitor any overlap efficiently, the SFSF and other ARRA monitoring plans are being revised to comport with the format used for RTTT monitoring. In this manner, the leverage of funds will be easier to discern.

State of Hawaii Process and Monitoring of Section 1512 Reports

The Hawaii State Governor created the Office of Economic Reinvestment and Recovery (OERR) to coordinate ARRA activities. The OERR is headed by the State Lead ARRA Coordinator.

Responsibilities of the State Lead ARRA Coordinator include:

- Develop and implement the Hawaii ARRA Accountability System.

- Coordinate quarterly Section 1512 reporting to federalreporting.gov for state departments and entities.
- Collect report drafts prior to quarterly submission to review data; ensure that reports are submitted on time by award recipients.
- OERR sets deadlines for state entities to upload their Section 1512 reports. In addition, agencies provide a copy of the job worksheet (so OERR can monitor if state agencies are using the correct federal methodology and are in fact calculating the job number each quarter) and a copy of the expenditure worksheet (to show state agencies are calculating the $25,000 and above expenditures correctly; and summing the number of vendors and total value of under $25,000 payments (including p-card purchases).

OERR performs quality checks to verify the following:

- Each ARRA award by federal award ID has a unique state appropriation symbol and that transactions for each ARRA award are conducted within a single state appropriation symbol;
- The "Amount of Award" on the Section 1512 report matches the award amount in the federal award letter;
- ARRA funds use the MOF designation "V" in FAMIS;
- Cash draw downs for ARRA awards are assigned revenue source code "0581" in FAMIS;
- Revenue and expenditure amounts (cumulative totals) on the Section 1512 report matches the amount recorded in FAMIS;
- Vendor payments $25,000 and under as recorded in FAMIS (including p-card charges) are reported in the aggregate (total amount and total number of vendors) in the "Project/Award Information" section of the Section 1512 report;
- Vendor payments over $25,000 as recorded in FAMIS (including p-card charges) are reported individually on the Section 1512 report vendor page;
- A worksheet showing how vendor payments are calculated has been submitted to OERR for each ARRA award;
- A worksheet showing how the "Number of Jobs" amount was calculated (reported in 'full time equivalents') has been submitted to OERR for each ARRA award subject to the Section 1512 reporting requirements;
- The "Number of Jobs" amount on the Section 1512 report matches the amount on the job calculation worksheet submitted to OERR for each ARRA award subject to the Section 1512 reporting requirements; and
- The narratives entered in the "Award Description" and "Quarterly Activities/Project Description" fields are updated and provide sufficient detail to the public.
- Any issues in the Section 1512 report and federal comments are addressed at the end of the reporting period. If unaddressed, OERR issues a memo and puts memo in file.

Expenditure worksheets can be used by HIDOE and the Governor's Office to monitor waste, fraud, and abuse.

Requirement: The State is ensuring compliance with ARRA Sections 14008 and 1512 quarterly reporting regulations.

Questions	Response/Attachments
• How does HIDOE report the jobs to the State, and how does the HIDOE calculate expenditures and jobs created/saved?	No attachment (narrative provided above)
Documentation:	
An explanation of/example for section 1512 reporting process.	*ARRA 1512 RTTT 3-31-11 (See Attachment D1)*
Sample of documentation supporting the data in Section 1512 quarterly report. Evidence of State ensuring the validity of LEA-reported numbers.	*Payroll, calculation of jobs created/saved (See Attachment D2)* Currently not applicable. As of Monday, April 25, 2011, the HIDOE has not submitted expenditures, including subrecipient accounts. State's Expenditure worksheets (available for future evidence)
LEA Documentation *(if applicable)*	
☐ Guidance from the State regarding 1512 reports.	*ARRA 1512 Reporting Period Memo (See Attachment C3)* *Hawaii ARRA Accountability System Manual (See Attachment C2)*
☐ Snapshots from the program used to enter and submit data or a copy of completed State-provided template (if applicable).	*ARRA 1512 RTTT 3-31-11 (See Attachment D1)*

E. SPECIAL PROVISIONS (AS SPECIFIED BY GAN)

a) Special Conditions for Disclosing Federal Funding in Public Announcements (GAN, Attachment S)

When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with federal money, all grantees receiving federal funds included in this Act, including but not limited to State and local governments and recipients of federal research grants, the State of Hawaii and HIDOE will clearly state:

(1) The percentage of the total costs of the program or project which will be financed with federal money;
(2) The dollar amount of federal funds for the project or program; and
(3) Percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

These conditions will be complied with under Public Law 111-8, the "Omnibus Appropriations Act, 2009", DIVISION F -DEPARTMENTS OF LABOR, HEALTH AND HUMAN SERVICES, AND EDUCATION, AND RELATED AGENCIES APPROPRIATIONS ACT, 2009, Title V- General Provisions, Sec. 506, March 11, 2009.

Internal compliance will be overseen by the following offices within HIDOE:

(1) **Office of the Superintendent, Communications Director:** When issuing public statements and press releases, the HIDOE Communications Director states that Hawaii will be using its $75 million RTTT award to achieve the reforms outlined in its application.

(2) **Office of Fiscal Services, Procurement Director:** The Procurement and Contracts Branch will include provisions in all solicitation documents (e.g. Information for Bids, Requests for Proposals) which are attached to the public notice announcing our intention to solicit bids or proposals for the various SFSF/ARRA/RTTT projects *(See Attachment E1 – Solicitation Notice).*

b) Prohibition of Text Messaging and Emailing While Driving During Official Federal Grant Business (GAN, Attachment U)

HIDOE personnel are prohibited from text messaging while driving a government owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email when driving *(See Attachment E2 – Letter from HIDOE Superintendent–Use of Mobile Electronic Devices).*

HIDOE will comply with these conditions under Executive Order 13513, "Federal Leadership On Reducing Text Messaging While Driving," October 1, 2009.

c) Award Term-Reporting Requirements Under Section 14008 of the American Recovery and Reinvestment Act of 2009 (GAN, p. 36)

For each year of the program, the State will submit to the USDOE a report that describes the following:
(1) The uses of funds provided under this title within the State;
(2) How the State distributed the funds it received under this title;
(3) The number of jobs that the Governor estimates were saved or created with funds the State received under this title;
(4) Tax increases that the Governor estimates were averted because of the availability of fund from this title;
(5) The State's progress in reducing inequities in the distribution of highly qualified teachers, in implementing a State longitudinal data system, and in developing and implementing valid and reliable assessments for limited English proficient students and children with disabilities;
(6) The tuition and fees increases for in-State students imposed by public institutions of higher education in the State during the period of availability of funds under this title, and a description of any actions taken by State to limit those increases;
(7) The extent to which public institutions of higher education maintained, increased, or decreased enrollment of in-State students, including students eligible for Pell Grants or other need-based financial statements; and
(8) A description of each modernization, renovation and repair project funded, which shall include the amounts awarded and project costs.

HIDOE will provide information to the State as it relates to RTTT activities and expenditures for items (1), (2), (3), (5), and (8). The completion and submission of the report will be the responsibility of the Governor's Office.

d) Procurement Transactions (GAN, p. 40)

HIDOE provides full and open competition, consistent with the standards in 34 CFR Section 80.36, and using its own procurement procedures (which reflect State and local laws and regulations) to select contractors, and enforce its State procurement laws and procedures regarding standards of conduct governing the performance of its employees, officers, directors, trustees, and agents engaged in the selection, award, and administration of contracts or agreements related to the Grant. The standards of conduct will, at a minimum, be consistent with the requirements in 34 CFR Section 75.525 *(See Attachment E1 – Solicitation Notice).*

e) Level of State Support for Elementary and Secondary (GAN, p. 42)

Under the SFSF program, a state must maintain the levels of state support for elementary and secondary education and for public institutions of higher education for fiscal years 2009, 2010, and 2011, that are at the respective levels of such support for fiscal year 2006.

HIDOE will monitor and report to the Governor's Office in its 2011 Annual Review Meeting, the level of elementary and secondary education in comparison to fiscal year 2006. If the State is unable to maintain such levels of support, it must meet the criterion for a waiver of this requirement *(See Attachment E3- SFSF MOE).*

f) Appointing a Grantee key contact person, as well as one for each Participating LEA, for this Race to the Top grant (GAN, p. 41)

As reflected on the Grant Award Notification, the key LEA representative for the Race to the Top grant is Robert E. Campbell, Executive Assistant for Strategic Reform, Hawaii Department of Education.

Please note that overall, the Governor's Authorized Representative (GAR) for Education is Amy Asselbaye. The key SEA/LEA representative is Kathryn S. Matayoshi, Superintendent of Education.

g) ED prior approval regarding changes in key grant personnel or their level of involvement and transition/interim plan if so determined by ED (GAN, p.42)

Should there need to be a change in key personnel, the Superintendent of Education shall forward a recommendation to the GAR, who would then submit it to the USDOE for approval.

h) Award Term-Reporting of Fraud and Misconduct

Each recipient and subrecipient awarded funds made available under ARRA will act promptly refer to the USDOE Office of Inspector General any credible evidence that a principal officer, employee, agent, contractor, subrecipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. Information about the Office of Inspector General Hotline is available at:
http://www.ed.gov/about/offices/list/oig/hotline.html
(See Attachment E-4 – Monitoring for Waste, Fraud and Abuse, RTTT Grant and Attachment C2 - Hawaii ARRA Accountability System Manual)

Evidence	Attachment
a) ATTACHMENT S: Special conditions for disclosing federal funding in public announcements (GAN, p. 27)	*E-1 – Solicitation Notice*
b) Attachment U - Prohibition of Text Messaging and Emailing while Driving During Official Federal Grant Business (GAN, p. 43)	*E2 – Letter from HIDOE Superintendent – Use of Mobile Electronic Devices*
c) Award-term reporting requirements under section 14008 of the American Recovery and Reinvestment Act of 2009 (GAN, p. 36)	*No attachment (narrative provided above)*
d) Procurement transactions (GAN, p. 40)	*E-1 – Solicitation Notice*
e) Levels of State support for elementary and secondary education (GAN, p. 42)	*E3 - SFSF MOE*
f) Appointing a Grantee key contact person, as well as one for each Participating LEA, for this Race to the Top grant (GAN, p. 41)	*No attachment (narrative provided above)*
g) ED prior approval regarding changes in key grant personnel or their level of involvement and transition/interim plan if so determined by ED (GAN, p.42)	*No attachment (narrative provided above)*
h) Reporting of waste, fraud, and abuse	*E-4 –Monitoring for Waste, Fraud and Abuse* *C-2 - Hawaii ARRA Accountability System Manual*

Memorandum of Agreement (MOA)
Between
The Governor of the State of Hawaii
And
The Hawaii Department of Education

On The Use of the American Recovery and Reinvestment Act ('ARRA'), State Fiscal Stabilization Fund - State Incentive Grants, Recovery Funds ('Race to the Top')
CFDA NUMBER 84.395A
Federal Award Number: S395A100051

I. Background

The State Fiscal Stabilization Fund (SFSF) program is a new one-time appropriation of $53.6 billion under the ARRA Act of 2009. Of the amount appropriated, on September 24, 2010, the U. S. Department of Education awarded $74,934,761 to the Office of the Governor of Hawaii under the Race to the Top program (RttT) to encourage Hawaii to create the conditions for education innovation and reform; achieve significant improvements in student outcomes, including making substantial gains in student achievement; close achievement gaps; improve high school graduation rates; ensure student preparation for success in college and careers; and implement ambitious plans in four core education reform areas:

- Adopt standards and assessments that prepare students to succeed in college and the workplace and compete in the global economy;
- Build data systems that measure student growth and success, and inform teachers and principals about how they can improve instruction;
- Recruit, develop, reward, and retain effective teachers and principals, especially where they are needed most; and
- Turn around the lowest-achieving schools.

Information on the RttT program is available at http://www2.ed.gov/programs/racetothetop/index.html.

In Hawaii's RttT Phase 2 application, the Governor of the State of Hawaii and the Superintendent of the Hawaii Department of Education made significant commitments and assurances to the U.S. Department of Education to implement an ambitious education reform plan (see http://www2.ed.gov/programs/racetothetop/phase2-applications/hawaii.pdf or *Attachment A*). The RttT grant is subject to the information in the approved State application.

II. Agreements

To meet the commitments and assurances made in Hawaii's RttT application and the additional terms and conditions of the grant award, the Governor's Office and the Hawaii Department of Education (HIDOE) do hereby agree:

A. To comply with all applicable statutes, regulations, and use of funds in accordance with those statutes and regulations and Hawaii's approved RttT application (including, as applicable terms, statutes and regulations found in Attachment A, Enclosure 4, Enclosure 5, Attachment F, Attachment N, Attachment R, Attachment S, Attachment T, Attachment T2, Attachment U, and Attachment V that are included as part of this MOA as *Attachment B*);

B. To obtain prior permission from the U.S. Department of Education for changes to key personnel identified in block 4 of the Grant Award Notice in accordance with 34 CFR 74.25 (c) (2), or CFR 80.30 (d) (3);

C. To submit all necessary reports to the U.S. Department of Education within 90 days after the end of the award period (September 23, 2014);

D. That the grant is made subject to the information in the approved State application and the applicable statutes and regulations, including Title XIV of the American Recovery and Reinvestment Act of 2009, the General Education Provisions Act (GEPA), and the Education Department General Administrative Regulations (EDGAR);

E. To use the fiscal and fund accounting procedures in the Hawaii ARRA Accountability System (HARRAAS) to ensure proper disbursement of and accounting for RttT program funds, including procedures to ensure compliance with federal cash management requirements;

F. That the Superintendent for HIDOE will take the lead in implementing the ambitious education reform plan contained in Hawaii's RttT, Phase 2 application and will coordinate efforts with the State of Hawaii Board of Education;

G. That the Governor's role is to facilitate implementation of the education reform plan by supporting the Superintendent of Education and Board of Education, to provide oversight, and to be jointly accountable to the U.S. Department of Education and public for progress in achieving the goals stated in the plan;

H. That the Hawaii DOE will develop a detailed scope of work, consistent with Hawaii's approved RttT Phase 2 application, as required by the U.S. DOE. The HIDOE will obtain approval for the detailed scope of work from the U.S. DOE. Once approved, the detailed scope of work will be assigned a version number and made available on a public website. Any future revisions to the detailed scope of work will receive a sequentially higher version number. Changes to the approved scope of work require concurrence of the U.S. DOE (as stated in U.S. DOE guidance) and the Governor;

I. That to aid the public's understanding on how the RttT reforms are impacting or will impact student achievement in Hawaii, the Hawaii DOE will maintain a public website to explain the approved scope of work, progress on implementing the scope of work by core reform area and for 'Priority 2' (Science, Technology, Engineering, and Math), and where relevant, provide a link to school level performance data by school or complex area. The Hawaii DOE will rate its overall performance and progress to date using one of the following indicators: problematic (1); weak (2); adequate (3); strong (4); advanced (5);

J. That the HIDOE will implement a balanced score card project management system to assess progress and alignment with the approved scope of work, determine the quality of implementation, and identify and work to mitigate potential obstacles and/or risks that could impact the ability of the organization to complete its goals;

K. That the HIDOE will prepare the Race to the Top "Progress Update" using *Attachment C* (or subsequent revisions, as provided by U.S. DOE) on a monthly basis and submit it to the Governor or designee forty-eight (48) hours prior to submission to the U.S. DOE project officer for the scheduled monthly call with the U.S. DOE;

L. That HIDOE representatives will copy the Governor or designee on all communication with U.S. DOE;

M. That the Governor or designee will have access to all Race to the Top-related meetings, materials and communications, and be included in the weekly e-mail update from the HIDOE RttT Implementation Team to the Superintendent

III. Release of Funds

The Governor's Office agrees to release funds upon execution of this agreement.

A. The HIDOE will be the "payee" and be able to draw on funds directly from the U.S. DOE without requiring additional approval from the Governor or designee.

B. The HIDOE will draw down funds on a reimbursement basis only based upon the approved scope of work. Draw downs will be authorized by the Superintendent and follow Hawaii DOE's internal procedures.

C. The Superintendent or designee will review financial reports on RttT expenditures with the Governor or designee on a monthly basis.

IV. Documentation

The Hawaii DOE will maintain the following information and documentation:

A. A Chart of Accounts that identifies all Race to the Top related funds, program, and account codes.

B. A summary report of the Race to the Top revenues evidencing that the revenues have been tracked with unique fund codes.

C. Expenditure reports to demonstrate track of the Race to the Top funds to allowable (project based and approved costs) costs.

D. Expenditure reports that demonstrate compliance with cash management principles.

E. Documentation evidencing alignment of spending to proposed and approved budget.

F. Documentation evidencing use of funds only during the period of allowability.

G. Documentation evidencing whether or not the RttT account is an interest bearing account.

H. Documentation evidencing receipt of RttT funds draw down from G5.

I. Documentation evidencing corresponding outlay of RttT funds from the Hawaii DOE's account to allowable expenditures.

J. Internal Race to the Top monitoring plan, protocols, and schedule for all subrecipients, vendors, and contractors.

K. Documentation evidencing the use of a balanced score card project management system that will assess progress and alignment with the approved scope of work; determine the quality of implementation; and identify and work to mitigate potential obstacles and/or risks that could impact the ability of the organization to complete its goals.

V. Review

A. Semi-annually, Superintendent will report to Hawaii P-20 Council on progress regarding implementation of RttT plan and progress toward goals.

B. Annually, Superintendent and Governor or designee will meet to review progress on RttT plan and progress toward goals as well as terms of this agreement.

Dated: March 09, 2011

NEIL ABERCROMBIE

Governor or Governor's Authorized Representative (Printed Name)

Signature of Governor or Authorized Representative — Date: 3.17.11

Kathryn S. Matayoshi

Hawaii Department of Education, Superintendent (Printed Name)

Signature of Superintendent — Date: 3-15-11

Attachments

State of Hawaii Race to the Top Grant Monitoring Schedule

		Summer		Fall			Winter			Spring			Summer			Fall		Winter	
Monitoring Level	2010-2011	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	NOTES
RTTT Award to HIDOE		24																	
Due to U.S. Department of Education																			
Monthly calls	1x/Month				23	22	31		16	20									
ARRA 1512 Reports	10th day after end of Quarter						14												
Onsite Program Review & Stocktake	1x/Year (Spring/Summer)																		
Secretary Stocktake	1x/Year (Fall/Winter)															TBA - fall/winter			
Annual Performance Review	1x/Year (Summer)												TBA - summer						
Budget clarification and approval	Approved Oct 2010																		
Scope of Work	Nov 22, 2010 - 1st due Mar 21 - approval				22				21										
Monitoring Plan	Due Apr 29									29									
Due to Governor's Office																			
Finalize Memorandum of Agreement (MOA) with Governor									17										
Review financial reports & expenditures	1x/Month									20	20	20	20	21	20	20	21	21	MOA, p. 3, item III-C
Provide feedback to HIDOE on RTTT progress	1x/Month									20	20	20	20	21	20	20	21	21	
HIDOE report to P-20 Council on RTTT goals	2x/Year						7						TBD						MOA, p. 4, item V-A
Supt/Gov meet to review progress on RTTT	Annually												TBD						MOA, p. 4, item V-B
HIDOE Internal Monitoring & Community																			
Strategic Project Oversight Committee (SPOC) Meetings/Balanced Scorecard (BSC) Monitoring	Weekly (Monday)			12 18 25	1 8 15 22 29	6 13 20 27	3 10 24 31	7 14 22 28	7 14 21 29	4 11 18 X	2 9 16 23 31	6 13 20 27	5 11 18 25 1	8 15 22 29	5 12 19 26	3 10 17 24 31	7 14 21 28	5 12 19 X	
Project Manager Reports (alt wks); weekly reports to Supt, Deputy, Gov's office	Weekly					3 10 16 22 29	7 14 21 28	4 11 18 25	4 6 13 20	3 10 17 21	1 8 15 22 29	5 12 19 26	3 10 17 24 31	7 14 21 28	4 11 18 25	2 9 16 23 30	6 13 20 27	4 11 18 X	
Project Manager Meetings	Jan-Mar (2x/mo) Apr-Dec (1x/mo)					9	7 18	4 18	5 24	8	6	3	1	5	2	7	4	2	
Twice-yearly retreat with community stakeholders	2x/year						18						TBD - summer						
Contracts & Vendors Duration																			
A1a - Accountability Framework - external evaluator to collect and process data, in years one, three and four across all Race to the Top components.	5/2011 - 6/2014																		3/17/11 SOW Page 6
A1b - Balanced Scorecard (BSC) - Consultant for training program manager and institutional analysts in the process and facilitation of the BSC and Project Management Oversight process	6/2010 - 8/2011																		3/17/11 SOW Page 3
A1d - Community Access Portal - Contract to enhance the HIDOE capacity to engage parents and communities in the education reform agenda, through public reporting and accountability, user-friendly interface to parent-school communication and transactions, and community input on specific issues, including: functional and technical design, user interface and reports, project management and logistical costs	9/2011-5/2012																		3/17/11 SOW Page 7

State of Hawaii Race to the Top Grant Monitoring Schedule

		Summer	Fall			Winter			Spring			Summer			Fall			Winter	
Monitoring Level	2010-2011	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	NOTES
A2b - Hawaii Partnership for Educational Research Consortium and Research Symposium (HPERC) - Professional Services: The development of the research data request database/ website.	6/2010 - 6/2010	(June 2010)																	3/17/11 SOW Page 39
A2b - HPERC/P20 - Professional Services: Contract to enhance the state's technical capacity to support HPERC and P-20 and workforce policy decisions through a P20 data warehouse	6/2010 - 6/2014	(June 2010)																	3/17/11 SOW Page 39
B2a - Create interim assessments for all grade levels (K-12, not just the tested grades) in reading, mathematics, and science, based on the Common Core State Standards.	12/2010 - 8/2013																		3/17/11 SOW Page 24-25
C1b - Infrastructure (Single Sign On) - Professional Services: The necessary identity management, infrastructure, and software development and modification serve as the basis for this intended contract. Anticipated tasks: Data Migration, Identity Management Software, Process Workflow Software, and training and management.	3/2011 - 2/2014																		3/17/11 SOW Page 36
C1c - Network Work Plan - Upgrade School Network-Wide Area Network (WAN) for collecting and tracking data at 215 HIDOE schools and the state office building. Added 4% for charter schools.	4/2011 - 6/2014																		3/17/11 SOW Page 37
C1c - Network Work Plan - Vendor - Equipment - Upgrade School Network-LAN at 260 HIDOE schools. Added 4% for charter schools.	1/2011-6/2012																		3/17/11 SOW Page 37
D1a/b - Performance-based Compensation - Contract for evaluation system development and assessment	4/2011 - 9/2014																		3/17/11 SOW Page 49
D1b - Evaluation Systems - Professional Services: Developmental and integration work on the Department of Education eHR (Human Resources), eSIS (Student Information Systems), data warehouses	9/2010 - 6/2014																		2010 Oct: Item A-38: Budget, Part II Page A-459
D2a - Induction and Mentoring - Teacher Induction Programs	3/2011 -9/2012																		3/17/11 SOW Page 53
D2b - Professional Services: contract to take currently available data linking student achievement to students' teachers, principals, the preparation program of teachers and principals, teacher licensure status, and teacher professional development participation.	10/2010 - 6/2014																		3/17/11 SOW Page 54
D2c - Professional Services: provide software and maintenance for schools participating in the distance learning and collaboration project.	9/2011 -10/2011																		3/17/11 SOW Page 56
D3a - Equity Plan/Recruitment & Training - Vendor - Equipment - infrastructure needed to implement highly qualified/highly effective teacher connectivity to rural and lowest performing schools through distance learning.	10/2010 - 11/2011																		3/17/11 SOW Page 58
D2c - Alt Cert for Principals - Professional Services: Develop performance contracts for principals and teachers based on student achievement	1/2011 - 4/2011																		3/17/11 SOW Page 60
D3b - Professional Services: Prepare 132 teachers over the course of 4 years using an alternative certification program for teachers to prepare 44 teachers per year to work in high priority shortage areas including STEM subject areas, especially in priority schools or for those who are in mid-career/non-education.	6/2010 - 6/2014	(June 2010)																	3/17/11 SOW Page 59

State of Hawaii Race to the Top Grant Monitoring Schedule

		Summer	Fall			Winter			Spring			Summer			Fall			Winter	
Monitoring Level	2010-2011	Aug-10	Sep-10	Oct-10	Nov-10	Dec-10	Jan-11	Feb-11	Mar-11	Apr-11	May-11	Jun-11	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	NOTES
E1a - Contract turnaround organization to serve as lead partner and provide knowledge, training, technical assistance, research, coaching, and capacity building services to HIDOE and Office of Strategic Reform to facilitate school turnaround and provide leadership mentoring for school administrators.	2/2011 - 4/2011																		3/17/11 SOW Page 63-64
E1a - New Tech High Model Implementation with laptops for 1 to 1 computer initiative for high school students.	3/2011 - 7/2013																		3/17/11 SOW Page 64-65
E1a - Vendor - Equipment - Wireless LAN connectivity initiative at Nanakuli High School	3/2011 - 7/2013																		3/17/11 SOW Page 64-65

State of Hawaii Race to the Top Grant Monitoring Schedule

		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2012	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	Dec-12	NOTES
Due to U.S. Department of Education														
Monthly calls	1x/Month													
ARRA 1512 Reports	10th day after end of Quarter													
Onsite Program Review & Stocktake	1x/Year (Spring/Summer)						TBD - spring/summer							
Secretary Stocktake	1x/Year (Fall/Winter)										TBA - fall/winter			
Annual Performance Review	1x/Year (Summer)							TBA - summer						
Due to Governor's Office														
Review financial reports & expenditures	1x/Month	20	20	20	20	21	20	20	20	20	21	20	20	MOA, p. 3, item III-C
Provide feedback to HIDOE on RTTT progress	1x/Month	20	20	20	20	21	20	20	20	20	21	20	20	
HIDOE report to P-20 Council on RTTT goals	2x/Year	TBD						TBD						MOA, p. 4, item V-A
Supt/Gov meet to review progress on RTTT	Annually							TBD						MOA, p. 4, item V-B
HIDOE Internal Monitoring & Community														
Strategic Project Oversight Committee Meetings/Balanced Scorecard monitoring	Weekly (Monday)													
Project Manager Reports (alt wks); weekly reports to Supt, Deputy, Gov's office	Weekly													
Project Manager Meetings	1x/Month (1st Friday)													
Twice-yearly retreat with community stakeholders	2x/Year							TBD - summer						
Contracts & Vendors														
A1a - Accountability Framework - external evaluator to collect and process data, in year one, three and four across all Race to the Top components.	5/2011 - 6/2014													3/17/11 SOW Page 6

State of Hawaii Race to the Top Grant Monitoring Schedule

		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2012	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	Dec-12	NOTES
A1d - Community Access Portal - Contract to enhance the HIDOE capacity to engage parents and communities in the education reform agenda, through public reporting and accountability, user-friendly interface to parent-school communication and transactions, and community input on specific issues, including: functional and technical design, user interface and reports, project management and logistical costs	9/2011-5/2012													3/17/11 SOW Page 7
A2b - HPERC/P20 - Professional Services: Contract to enhance the state's technical capacity to support HPERC and P-20 and workforce policy decisions through a P20 data warehouse	6/2010 - 6/2014													3/17/11 SOW Page 39
B2a - Create interim assessments for all grade levels (K-12, not just the tested grades) in reading, mathematics, and science, based on the Common Core State Standards.	12/2010 - 8/2013													3/17/11 SOW Page 24-25
C1b - Infrastructure (Single Sign On) - Professional Services: The necessary identity management, infrastructure, and software development and modification serve as the basis for this intended contract. Anticipated tasks: Data Migration, Identity Management Software, Process Workflow Software, and training and management.	3/2011 - 2/2014													3/17/11 SOW Page 36
C1c - Network Work Plan - Upgrade School Network-Wide Area Network (WAN) for collecting and tracking data at 215 HIDOE schools and the state office building. Added 4% for charter schools.	4/2011 - 6/2014													3/17/11 SOW Page 37
C1c - Network Work Plan - Vendor - Equipment - Upgrade School Network-LAN at 260 HIDOE schools. Added 4% for charter schools.	1/2011-6/2012													3/17/11 SOW Page 37
D1a/b - Performance-based Compensation - Contract for evaluation system development and assessment	4/2011 - 9/2014													3/17/11 SOW Page 49
D1b - Evaluation Systems - Professional Services: Developmental and integration work on the Department of Education eHR (Human Resources), eSIS (Student Information Systems), data warehouses	9/2010 - 6/2014													2010 Oct: Item A-38: Budget, Part II Page A-459
D2a - Induction and Mentoring - Teacher Induction Programs	3/2011 -9/2012													3/17/11 SOW Page 53
D2b - Professional Services: contract to take currently available data linking student achievement to students' teachers, principals, the preparation program of teachers and principals, teacher licensure status, and teacher professional development participation.	10/2010 - 6/2014													3/17/11 SOW Page 54

State of Hawaii Race to the Top Grant Monitoring Schedule

		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2012	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12	Jul-12	Aug-12	Sep-12	Oct-12	Nov-12	Dec-12	NOTES
D3b - Professional Services: Prepare 132 teachers over the course of 4 years using an alternative certification program for teachers to prepare 44 teachers per year to work in high priority shortage areas including STEM subject areas, especially in priority schools or for those who are in mid-career/non-education.	6/2010 - 6/2014													3/17/11 SOW Page 59
E1a - New Tech High Model Implementation with laptops for 1 to 1 computer initiative for high school students.	3/2011 - 7/2013													3/17/11 SOW Page 64-65

State of Hawaii Race to the Top Grant Monitoring Schedule

		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2013	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	NOTES
Due to U.S. Department of Education														
Monthly calls	1x/Month													
ARRA 1512 Reports	10th day after end of Quarter													
Onsite Program Review & Stocktake	1x/Year (Spring/Summer)						TBD - Spring/Summer							
Secretary Stocktake	1x/Year (Fall/Winter)										TBA - Fall/Winter			
Annual performance review	1x/Year (Summer)							TBA - Summer						
Due to Governor's Office														
Review financial reports & expenditures	1x/Month	21	20	20	22	20	20	22	20	20	21	20	20	MOA, p. 3, item III-C
Provide feedback to HIDOE on RTTT progress	1x/Month	21	20		22	20	20	22	20	20	21	20	20	
HIDOE report to P-20 Council on RTTT goals	2x/Year	TBD						TBD						MOA, p. 4, item V-A
Supt/Gov meet to review progress on RTTT	Annually										TBD			MOA, p. 4, item V-B
HIDOE Internal Monitoring & Community														
Strategic Project Oversight Committee Meetings/Balanced Scorecard monitoring	Weekly (Monday)													
Project Manager Reports (alt wks); weekly reports to Supt, Deputy, Gov's office	Weekly													
Project Manager Meetings	1x/Month (1st Friday)													
Twice-yearly retreat with community stakeholders	2x/Year	TBD						TBD						
Contracts & Vendors														
A1a - Accountability Framework - external evaluator to collect and process data, in year one, three and four across all Race to the Top components.	5/2011 - 6/2014													3/17/11 SOW Page 6
A2b - HPERC/P20 - Professional Services: Contract to enhance the state's technical capacity to support HPERC and P-20 and workforce policy decisions through a P20 data warehouse	6/2010 - 6/2014													3/17/11 SOW Page 39

State of Hawaii Race to the Top Grant Monitoring Schedule														
		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2013	Jan-13	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	NOTES
B2a - Create interim assessments for all grade levels (K-12, not just the tested grades) in reading, mathematics, and science, based on the Common Core State Standards.	12/2010 - 8/2013													3/17/11 SOW Page 24-25
C1b - Infrastructure (Single Sign On) - Professional Services: The necessary identity management, infrastructure, and software development and modification serve as the basis for this intended contract. Anticipated tasks: Data Migration, Identity Management Software, Process Workflow Software, and training and management.	3/2011 - 2/2014													3/17/11 SOW Page 36
C1c - Network Work Plan - Upgrade School Network-Wide Area Network (WAN) for collecting and tracking data at 215 HIDOE schools and the state office building. Added 4% for charter schools.	4/2011 - 6/2014													3/17/11 SOW Page 37
D1a/b - Performance-based Compensation - Contract for evaluation system development and assessment	4/2011 - 9/2014													3/17/11 SOW Page 49
D1b - Evaluation Systems - Professional Services: Developmental and integration work on the Department of Education eHR (Human Resources), eSIS (Student Information Systems), data warehouses	9/2010 - 6/2014													2010 Oct: Item A-38: Budget, Part II Page A-459
D2b - Professional Services: contract to take currently available data linking student achievement to students' teachers, principals, the preparation program of teachers and principals, teacher licensure status, and teacher professional development participation.	10/2010 - 6/2014													10/2010 - 6/2014
D3b - Professional Services: Prepare 132 teachers over the course of 4 years using an alternative certification program for teachers to prepare 44 teachers per year to work in high priority shortage areas including STEM subject areas, especially in priority schools or for those who are in mid-career/non-education.	6/2010 - 6/2014													3/17/11 SOW Page 59
E1a - New Tech High Model Implementation with laptops for 1 to 1 computer initiative for high school students.	3/2011 - 7/2013													

State of Hawaii Race to the Top Grant Monitoring Schedule

		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2014	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	NOTES
End of RTTT grant period							30							
Due to U.S. Department of Education														
Monthly calls	1x per month													
ARRA 1512 Reports	10th day after each quarter													
Onsite Program Review & Stocktake	1x per year (Spr/Summer)			TBA- Spring/Summer										
Secretary Stocktake	1x per year (Fall/Winter)-TBD for 2014													
Annual Performance Review	1x per year (Summer)						TBA - Summer							
Submit all necessary final reports to USDOE within 90 days after the end of the award period (Sept 23, 2014)										23				
Due to Governor's Office														
Review financial reports & expenditures	1x per month	20	20	20	21	20	20							MOA, p. 3, item III-C
Provide feedback to HIDOE on RTTT progress	1x per month	20	20	20	21	20	20							
HIDOE report to P-20 council on RTTT goals	2x yearly	TBD					TBD							MOA, p. 4, item V-A
Supt/Gov meet to review progress on RTTT	Annually													MOA, p. 4, item V-B
HIDOE Internal Monitoring & Community														
Strategic Project Oversight Committee Meetings/Balanced Scorecard monitoring	Weekly (Monday)													
Project Manager Reports (alt wks); weekly reports to Supt, Deputy, Gov's office	Weekly													
Project Manager Meetings	1x/mo (1st Friday)													
Twice-yearly retreat with community stakeholders	2x/year	TBD - Winter					TBD - Summer							
Contracts & Vendors														
A1a - Accountability Framework - external evaluator to collect and process data, in year one, three and four across all Race to the Top components.	5/2011 - 6/2014													3/17/11 SOW Page 6

State of Hawaii Race to the Top Grant Monitoring Schedule														
		Winter		Spring			Summer			Fall			Winter	
Monitoring Level	2014	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	NOTES
A2b - HPERC/P20 - Professional Services: Contract to enhance the state's technical capacity to support HPERC and P-20 and workforce policy decisions through a P20 data warehouse	6/2010 - 6/2014													3/17/11 SOW Page 39
C1b - Infrastructure (Single Sign On) - Professional Services: The necessary identity management, infrastructure, and software development and modification serve as the basis for this intended contract. Anticipated tasks: Data Migration, Identity Management Software, Process Workflow Software, and training and management.	3/2011 - 2/2014													3/17/11 SOW Page 36
C1c - Network Work Plan - Vendor - Equipment - Upgrade School Network-LAN at 260 HIDOE schools. Added 4% for charter schools.	4/2011 - 6/2014													3/17/11 SOW Page 37
D1a/b - Performance-based Compensation - Contract for evaluation system development and assessment	4/2011 - 6/2014													3/17/11 SOW Page 49
D1b - Evaluation Systems - Professional Services: Developmental and integration work on the Department of Education eHR (Human Resources), eSIS (Student Information Systems), data warehouses	9/2010 - 6/2014													2010 Oct: Item A-38: Budget, Part II Page A-459
D2b - Professional Services: contract to take currently available data linking student achievement to students' teachers, principals, the preparation program of teachers and principals, teacher licensure status, and teacher professional development participation.	10/2010 - 6/2014													3/17/11 SOW Page 54
D3b - Professional Services: Prepare 132 teachers over the course of 4 years using an alternative certification program for teachers to prepare 44 teachers per year to work in high priority shortage areas including STEM subject areas, especially in priority schools or for those who are in mid-career/non-education.	6/2010 - 6/2014													3/17/11 SOW Page 59
E1a - Contract turnaround organization to serve as lead partner and provide knowledge, training, technical assistance, research, coaching, and capacity building services to HIDOE and Office of Strategic Reform to facilitate school turnaround and provide leadership mentoring for school administrators.	Year 1-4													

U.S. Department of Education
Washington, D.C. 20202

GRANT AWARD NOTIFICATION

1 RECIPIENT NAME:
Office of the Governor of Hawaii
Office of Strategic Reform
Hawaii Department of Education
1390 Miller Street
Honolulu, HI 96813

2 PROJECT TITLE
84.395A
STATE FISCAL STABILIZATION FUND - STATE INCENTIVE GRANTS, RECOVERY FUNDS

3 PROJECT STAFF

RECIPIENT PROJECT DIRECTOR
Bob Campbell (808) 586 - 3447

EDUCATION PROGRAM CONTACT
James Butler (202) 260 - 9737

EDUCATION PAYMENT CONTACT
GAPS PAYEE HOTLINE (888) 336 - 8930

4 KEY PERSONNEL

NAME	TITLE	LEVEL OF EFFORT
Bob Campbell	Project Director	100%

5 AWARD INFORMATION

PR/AWARD NUMBER S395A100051
ACTION NUMBER 01
ACTION TYPE New
AWARD TYPE Discretionary

6 AWARD PERIODS

BUDGET PERIOD 09/24/2010 - 09/23/2014
PERFORMANCE PERIOD 09/24/2010 - 09/23/2014

7 AUTHORIZED FUNDING

THIS ACTION	$74,934,761.00
BUDGET PERIOD	$74,934,761.00
PERFORMANCE PERIOD	$74,934,761.00

8 ADMINISTRATIVE INFORMATION

DUNS/SSN 809930217
REGULATIONS CFR PART .
EDGAR AS APPLICABLE
ATTACHMENTS A, E4, E5, N, R, U, V

9 LEGISLATIVE AND FISCAL DATA

AUTHORITY: PL 111-5 AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA)
PROGRAM TITLE: STATE FISCAL STABILIZATION FUND - STATE INCENTIVE GRANTS, RECOVERY FUNDS

CFDA/SUBPROGRAM NO: 84.395A

FUND CODE	FUNDING YEAR	AWARD YEAR	ORG. CODE	CATEGORY	LIMITATION	ACTIVITY	CFDA	OBJECT CLASS	AMOUNT
1909M	2009	2010	ES000000	B	DP2	000	395	4101A	$74,934,761.00

Ver. 1
ED-GAPS001 (01/98)

U.S. Department of Education
Washington, D.C. 20202

GRANT AWARD NOTIFICATION

10

PR/AWARD NUMBER: S395A100051

RECIPIENT NAME: Office of the Governor of Hawaii

TERMS AND CONDITIONS

(1) THE FOLLOWING ITEMS ARE INCORPORATED IN THE GRANT AGREEMENT:
(1) THE RECIPIENT'S APPLICATION (BLOCK 2),
(2) THE APPLICABLE EDUCATION DEPARTMENT REGULATIONS (BLOCK 8), AND
(3) THE SPECIAL TERMS AND CONDITIONS SHOWN AS ATTACHMENTS (BLOCK 8).

IN ACCORDANCE WTH 34 CFR 74.25(c)(2), OR 34 CFR 80.30(d)(3) CHANGES TO KEY PERSONNEL IDENTIFIED IN BLOCK 4 MUST RECEIVE PRIOR APPROVAL FROM THE DEPARTMENT.

THE RECIPIENT IS REQUIRED TO SUBMIT ALL NECESSARY REPORTS TO THE DEPARTMENT OF EDUCATION WITHIN 90 DAYS AFTER THE END OF FEDERAL SUPPORT (BLOCK 6).

(2) This award is subject to the terms and conditions (if any) identified in Attachment F and Attachment S.

(3) This grant award is subject to the terms and conditions identified in Attachment T.

(4) This grant award is subject to the terms and conditions identified in Attachment T2.

(5) This grant is made subject to the information in the approved State application and the applicable statutes and regulations, including Title XIV of the American Recovery and Reinvestment Act of 2009, the General Education Provisions Act (GEPA), and the Education Department General Administrative Regulations (EDGAR).

9.27.10

AUTHORIZING OFFICIAL **DATE**

Ver. 1
ED-GAPS001 (01/98)

EXPLANATION OF BLOCKS ON THE GRANT AWARD NOTIFICATION

For Discretionary, Formula, and Block Grants (See Block 5 of the Notification)

1. **RECIPIENT NAME** - The legal name of the recipient, name of the primary organizational unit that will undertake the funded activity, and the complete address of the recipient. The recipient is commonly known as the "grantee."

2. **PROJECT TITLE AND CFDA NUMBER** - Identifies the Catalog of Federal Domestic Assistance (CFDA) subprogram title and the associated subprogram number.

3. **PROJECT STAFF** - This block contains the names and telephone numbers of the U.S. Department of Education and recipient staff who are responsible for project direction and oversight.

   ***RECIPIENT PROJECT DIRECTOR** - The recipient staff person responsible for administering the project. This person represents the recipient to the U.S. Department of Education.

   EDUCATION PROGRAM CONTACT - The U.S. Department of Education staff person responsible for the programmatic, administrative and business-management concerns of the Department.

   EDUCATION PAYMENT CONTACT - The U.S. Department of Education staff person responsible for payments or questions concerning electronic drawdown and financial expenditure reporting.

4.* **KEY PERSONNEL** - Name, title and percentage (%) of effort the key personnel identified devotes to the project.

5. **AWARD INFORMATION** - Unique items of information that identify this notification.

   PR/AWARD NUMBER - A unique, identifying number assigned by the Department to each application. On funded applications, this is commonly known as the "grant number" or "document number."

   ACTION NUMBER - A numeral that represents the cumulative number of steps taken by the Department to date to establish or modify the award through fiscal or administrative means. Action number "01" will always be "NEW AWARD"

   ACTION TYPE - The nature of this notification (e.g., NEW AWARD, CONTINUATION, REVISION, ADMINISTRATIVE)

   AWARD TYPE - The particular assistance category in which funding for this award is provided, i.e., DISCRETIONARY, FORMULA, or BLOCK.

6. **AWARD PERIODS** - Project activities and funding are approved with respect to three different time periods, described below:

   BUDGET PERIOD - A specific interval of time for which Federal funds are being provided from a particular fiscal year to fund a recipient's approved activities and budget. The start and end dates of the budget period are shown.

   PERFORMANCE PERIOD - The complete length of time the recipient is proposed to be funded to complete approved activities. A performance period may contain one or more budget periods.

   ***FUTURE BUDGET PERIODS** - The estimated remaining budget periods for multi-year projects and estimated funds the Department proposes it will award the recipient provided substantial progress is made by the recipient in completing approved activities, the Department determines that continuing the project would be in the best interest of the Government, Congress appropriates sufficient funds under the program, and the recipient has submitted a performance report that provides the most current performance information and the status of budget expenditures.

7. **AUTHORIZED FUNDING** - The dollar figures in this block refer to the *Federal* funds provided to a recipient during the award periods.

   ***THIS ACTION** - The amount of funds obligated (added) or de-obligated (subtracted) by this notification.

   ***BUDGET PERIOD** - The total amount of funds available for use by the grantee during the stated budget period to this date.

   ***PERFORMANCE PERIOD** - The amount of funds obligated from the start date of the first budget period to this date.

   RECIPIENT COST-SHARE - The funds, expressed as a percentage, that the recipient is required to contribute to the project, as defined by the program legislation or regulations and/or terms and conditions of the award.

   RECIPIENT NON-FEDERAL AMOUNT - The amount of non-federal funds the recipient must contribute to the project as identified in the recipient's application. When non-federal funds are identified by the recipient where a cost share is not a legislation requirement, the recipient will be **required** to provide the non-federal funds.

8. **ADMINISTRATIVE INFORMATION** - This information is provided to assist the recipient in completing the approved activities and managing the project in accordance with U.S. Department of Education procedures and regulations.

   DUNS/SSN - A unique, identifying number assigned to each recipient for payment purposes. The number is based on either the recipient's assigned number from Dun and Bradstreet or the individual's social security number.

   ***REGULATIONS** - The parts of the Education Department General Administrative Regulations (EDGAR) and specific program regulations that govern the award and administration of this grant.

   ***ATTACHMENTS** - Additional sections of the Grant Award Notification that discuss payment and reporting requirements, explain Department procedures, and add special terms and conditions in addition to those established, and shown as clauses, in Block 10 of the award. Any attachments provided with a notification continue in effect through the project period until modified or rescinded by the Authorizing Official.

9. **LEGISLATIVE AND FISCAL DATA** - The name of the authorizing legislation for this grant, the CFDA title of the program through which funding is provided, and U.S. Department of Education fiscal information.

   FUND CODE, FUNDING YEAR, AWARD YEAR, ORG. CODE, PROJECT CODE, OBJECT CLASS - The fiscal information recorded by the U.S. Department of Education's Grant Administration and Payment System to track obligations by award.

   AMOUNT - The amount of funds provided from a particular appropriation and project code. Some notifications authorize more than one amount from separate appropriations and/or project codes. The total of all amounts in this block equals the amount shown on the line, "THIS ACTION" (See "AUTHORIZED FUNDING" above (Block 7)).

10. **TERMS AND CONDITIONS OF AWARD** - Requirements of the award that are binding on the recipient.

    ***AUTHORIZING OFFICIAL** - The U.S. Department of Education official authorized to award Federal funds to the recipient, establish or change the terms and conditions of the award, and authorize modifications to the award.

FOR FORMULA AND BLOCK GRANTS ONLY:

(See also Blocks 1, 2, 5, 6, 8, 9 and 10 above)

3. **EDUCATION STAFF** - The U.S. Department of Education staff persons to be contacted for programmatic and payment questions.

7. **AUTHORIZED FUNDING**

   CURRENT AWARD AMOUNT - The amount of funds that are obligated (added) or de-obligated (subtracted) by this action.

   PREVIOUS CUMULATIVE AMOUNT - The total amount of funds awarded under the grant before this action.

   CUMULATIVE AMOUNT - The total amount of funds awarded under the grant, this action included.

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* This item differs or does not appear on formula and block grants.

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE CHIEF FINANCIAL OFFICER
& CHIEF INFORMATION OFFICER

Bob Campbell
Office of the Governor of Hawaii
Office of Strategic Reform
Hawaii Department of Education
1390 Miller Street
Honolulu, HI 96813

SUBJECT: Payee Identification for Grant Award S395A100051

This is to inform you that the United States Department of Education does not have a payee and bank account of record designated for the above listed grant award. You will not be able to request funds for this grant award until a payee and bank account of record are established.

1) All SF-1199A, Direct Deposit and Fedwire Sign-Up forms must be mailed to the Department of Education. The SF-1199A must contain original signatures for both the recipient and bank officials.
2) First time recipients establishing a bank account for a new award must include a copy of the grant award document with the cover letter and SF-1199A, Direct Deposit or Fedwire Sign-Up forms.
3) G5 produces an automated notification when bank account data has been changed or deleted. This automated notification is transmitted via e-mail to Payees having e-mail capacity or mailed to recipients without an e-mail address.
4) All banking information requests, including establishing a new bank account, modifying an existing bank account or deleting a bank account must be accompanied with a cover letter requesting the specific action. The cover letter must be on the letterhead of the requesting payee. The cover letter must contain the following information:

    - DUNS number
    - e-mail address (if available) for the person to receive automated notification
    - signature and phone number of the person requesting the bank information change

Mail cover letters and accompanying forms to:

U.S. Department of Education
400 Maryland Avenue, SW
Room 3321 - Mail Stop 4331
Washington, DC 20202 - 4331
Attn: Functional Applications Team

If you have any questions or require assistance concerning establishing a payee record for a bank account please contact the G5 Hotline at 888-336-8930.

INSTRUCTIONS
ACH DIRECT DEPOSIT SIGN-UP FORM
(SF-1199A)

Recipients can obtain an SF-1199A (Figure D-1) from their financial institution. The preprinted instructions on the reverse side of the SF-1199A should be disregarded and the following instructions should be followed in completing the SF-1199A.

The recipient is to complete Sections 1 and 2 of the SF-1199A. The recipient's financial institution is to complete Section 3 and mail the completed form to the Department of Education. The financial institution will mail a copy of the completed SF-1199A to the recipient.

INSTRUCTIONS - SECTION 1

ITEM A	Name of Payee Address	Enter the name and address of payee's organization.
	Telephone Number	Enter telephone number of person authorized to certify the payment request.
ITEM B	Name of Person(s) Entitled to Payment	Leave Blank.
ITEM C	Claim or Payroll ID Number	Enter the following information: Prefix: 9 digit D-U-N-S Number, Suffix: 11 character Grant Award Number.
ITEM D	Type of Depositor	Place an "X" in the Appropriate Box.
ITEM E	Depositor Account	Enter the payee's account number at the financial institution in which funds are to be deposited. Include blanks or dashes when entering the account number.
ITEM F	Type of Payment	Enter "X" in the "Other" box.
ITEM G	Box for Allotment of Payment Only	Leave Blank.
Payee/Joint Certification		Authorized Certifying Official for the payee is to sign the form.

INSTRUCTIONS - SECTION 2

Government Agency Name	Enter:	U.S. Department of Education
Government Agency Address	Enter:	400 Maryland Avenue, SW Room 4C138 Washington, DC 20202

INSTRUCTIONS - SECTION 3

To be completed by financial institution.

Director, Financial Payment Group
U.S. Department of Education
400 Maryland Avenue, SW
Room 3321 - Mail Stop 4331
Washington, DC 20202 - 4331

Ref.: PR/Award No. S395A100051

Dear Sir:

Please transfer FEDWIRE payments for Office of the Governor of Hawaii to the following financial institution and depositor account beginning on this date: Month______, Day_______, Year______.

Information regarding the financial institution to which payments for D-U-N-S______________ are to be transferred is provided below.

Financial Institution:

Name: ____________________
Street: ____________________
City: ____________________
State: ____________________
Zip: ____________________

ABA Number: ____________________
Account Number: ____________________
Contact Name: ____________________
Telephone No.: ____________________

Corresponding Bank (if applicable):

Name: ____________________
Street: ____________________
City: ____________________
State: ____________________
Zip: ____________________

ABA Number: ____________________
Telegraphic Abbrev.: ____________________

Please update my account with the information as indicated above. If you have any questions, I may be reached at (____)________________.

Sincerely,

Chief Financial Officer

Dear G5 Payee:

To obtain your G5 Login ID, you will need to complete the G5 External User Access Request Form and return it notarized to the U.S. Department of Education. Attached are the instructions for accessing and completing the form. Upon receiving the notarized form, the Department will send you an email with your new G5 Login ID.

Thank you for your continued support of the U.S. Department of Education's G5 Grant Management System. Please contact the G5 Hotline (888-336-8930) if you have any questions.

Sincerely,
G5 Administration

Instructions for Completing the G5 External User Access Request Form

To establish direct access to your U.S. Department of Education G5 Grant Management System account, please complete the G5 External User Access Request Form attached, have it notarized, and mail the completed form to the address below.

Steps for Completing the G5 External User Access Request Form –

1. Go to www.g5.gov and click on the link, "Not Registered? Sign up".
2. Compete each data element of the form including the following elements:
   a. User Type (Select Payee unless you are specifically a Servicer)
   b. Central Contractor Registry Number
   c. Desired Role (Select Full Access to enable you to continue to draw funds, or View Only if you will only need to review account activity).
3. Print the form and then Submit your online registration.
4. You will immediately receive an email asking you to activate your account.
5. Click on the link in the email and select your password and Secret Question and Answer.
6. Congratulations! You now have an active account. Only one more step!!
7. Sign the printed (from step 3) G5 External User Access Request Form as the Authorized Payee in the presence of a Notary Public.
8. Assure the G5 External User Access Request Form is notarized with appropriate seal and signature and expiration date.
9. Mail the completed, notarized G5 External User Access Request Form to the following address:

   U.S. Department of Education
   Office of the Chief Information Officer
   Mail Stop - 4110
   400 Maryland Avenue, SW
   Washington DC 20202
   Attn: Functional Applications Team
10. Allow two weeks for delivery and account updates.
11. You will receive Email notification that your G5 External User Access Request Form has been processed and your roles have been assigned.
12. Congratulations, You're now able to access G5 directly.

As always, please contact the G5 Hotline (888-336-8930) with any questions.

ATTACHMENT A

SPECIAL GRANT CONDITIONS FOR PAYMENTS

THE G5 PAYMENTS MODULE

Payments under this award will be made through the G5-Payments module of, the U.S. Department of Education's (Department) electronic payments.. The G5paymentmodule and other web-based grant systems (e-Application, e-Reader, e-Reports,) (modules) within the Education Central Automated Processing Systems (EDCAPS) are administered by the Office of the Chief Information Officer, Financial Systems Services.

The internet address for G5 is https://www.g5.gov. To access the G5 Payments module, you must first have a G5 User Id and Password. You'll need to request a G5 User Id and Password from the Department of Education by submitting an **External Access Security Form**. This form is electronically available during online registration under "Not Registered? Sign Up", when you access the website. The Department will issue G5 User Ids and Passwords to those individuals authorized by the payee to access G5 to request funds and report expenditures. User Ids and Passwords cannot be faxed or given over the phone, and may not be shared by multiple users. The External User Access Request Form must be completed and mailed to the following address:

U.S. Department of Education
Office of the Chief Information Officer
Mail Stop – 4110
Attn: G5 Functional Application Team
400 Maryland Avenue, SW
Washington, DC 20202

New grantees will be requested to provide pertinent information before they may begin requesting funds. Information to be provided includes:

- Designation of payee
- Payee contacts and mailing addresses
- Depositor account information
- Individuals authorized by the payee to access G5 to request funds - these individuals will be provided User Ids and passwords to access G5

The payee is the entity identified by the grantee to handle the financial aspects of the grant – e.g., request payments, report expenditures (the grantee and payee may be the same entity). Payees may begin requesting funds for the grantee once their award authorization is entered into G5 and the award start date is reached.

A copy of the Department of Education G5 Training Guide (Guide), is available on the G5 website under "Help". The guide provides detailed instructions on all electronic payment processes. If you are not Internet capable, please contact the G5/GAPS Payee Hotline at toll free 1 (888) 336-8930 to request a hard copy of the Guide.

REQUESTING FUNDS USING THE G5 MODULE

Payees can access the G5-Payments Module on-line to request funds. To access, payees need a Web browser (such as Microsoft Internet Explorer or Netscape Navigator) and Internet connectivity. Payees will request funds by award using the **PR/Award Number** found in **Block 5** of the **Grant Award Notification.** Instructions for navigating through the G5-Payments screens to make a payment request are given in the G5 Training Guide and the G5 OnDemand training located under "Help". Instructions for modifying payment requests, adjusting drawdown amounts, and viewing award and authorization histories are also included in the Guide.

Those payees who do not have the technology to access G5-Payments on-line may request funds by calling ED's G5/GAPS Payee Hotline by calling 1-888-336-8930.

AWARD INFORMATION

Payees can get information on this award (1) on-line or (2) by calling ED's G5/GAPS Payee Hotline Staff at 1-888-336-8930.

On-Line:

Payees may access G5 via the Internet (https://www.G5.gov to retrieve and view information on their awards, such as:

- Net authorization and authorization history
- Net draws
- Available balance
- History of pending and completed payments
- Award status
- Award history - including detailed transactions on drawdowns, returns, refunds, and adjustments

ED's GAPS Payee Hotline Staff:

Payees can contact a G5/GAPS Payee Hotline Staff for information on any award. Because award information is organized in G5 by a unique identifier - the Dun & Bradstreet Number (DUNS Number) - payees should have their DUNS number, identified in **Block 8** of the **Grant Award Notification**, available when contacting a G5/GAPS Payee Hotline Staff Representative.

FINANCIAL REPORTS:

When a Payee requests a drawdown of funds by grant award, the Department records this as an expenditure against the specific grant award. This method of identifying expenditures, at the time of drawdown, and the capability to make adjustments on-line eliminates the need for the submission of the Federal Cash Transactions Report Form 272. Therefore, no additional financial reporting will be required unless required by a specific program.

(10/2009)

ENCLOSURE 4

MEMORANDUM June 15, 2010

To: Recipients of grants and cooperative agreements

From: Thomas Skelly, Delegated to Perform Functions of Chief Financial Officer

Subject: Department of Education Cash Management Policies for Grants and Cooperative Agreements

The purpose of this memorandum is to remind the Department of Education's (the Department's) grant and cooperative agreement recipients (recipients) of existing cash management requirements regarding payments. The Department expects that recipients will ensure that subrecipients are also aware of these policies by forwarding a copy of this memorandum to them.

There are two different sets of payment requirements that apply to the draw of funds from recipient accounts at the Department. Payments to a State under programs covered by a State's Treasury State Agreement (TSA) are subject to the requirements of the *Cash Management Improvement Act of 1990 (CMIA)* as published in 31 United States Code 6503.

All other payments to States and all payments to other types of recipients are subject to the requirements in either 34 Code of Federal Regulation (CFR) Part 74, applicable to nongovernmental entities, or 34 CFR Part 80, applicable to State, local, and Indian tribal governments. These regulations are part of the Education Department General Administrative Regulations (EDGAR) and are available on the Web at http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html.

CMIA Requirements

States that draw funds under programs subject to the *CMIA* must draw funds as required under the TSA for the State. If a State draws funds under one of these programs to make payments to a subrecipient, the payment request to the Department should only be made at the request of the subrecipient, which must make draw requests to the State as required under the requirements in EDGAR, as described below.

EDGAR Requirements

Payments to States under programs not covered by the State's TSA and payments to other governments are subject to the requirements in Part 80 of EDGAR. These payment requirements also apply to all other types of recipients under Part 74 of EDGAR, which applies to nonprofit organizations, institutions of higher education, hospitals, and commercial organizations. States that draw funds on behalf of subrecipients under programs not covered by a TSA should remind subrecipients that they may only request funds from the State under the payment standards in Part 74 or Part 80, as applicable.

For any cash drawn from your program or project account at the Department:

- Recipients must minimize the time between the recipient's draw down of funds from its grant account at the Department and the time the recipient disburses those funds to payees via electronic transfer, check redemption or other means of transfer. See 34 CFR 74.22(a) and 80.21(b). Specifically, recipients may only draw funds to meet the immediate cash needs of the grant or cooperative agreement.

- For recipients subject to Part 74 of EDGAR, unless the conditions described in 34 CFR Part 74 Section 22(k) exist, these recipients must deposit advances of Federal funds in interest bearing accounts.

- Recipients subject to Part 74 of EDGAR must return to the U.S. Department of Health and Human Services (HHS) the interest earned on advances of grant funds except that the recipient may retain up to $250 of interest earned on the account each year to pay for the costs of maintaining the account. These requirements also apply to subrecipients subject to Part 74 Section 22 (l) which requires these recipients and subrecipients to annually remit interest earned on advances of funds. The address for interest remittances to HHS is:

U.S. Department of Health and Human Services
P.O. Box 6120
Suite 1133
Rockville, MD 20852

The remittance should be accompanied by a letter stating that the remittance is for "interest earned on Federal funds" and should include the DUNS number.

- Recipients subject to Part 80 of EDGAR must return to the Department the interest earned on advances of grant funds except that the recipient may retain up to $100 of interest earned on the account each year to pay for the costs of maintaining the account. Section 80.21(i) requires these recipients to promptly (at least quarterly) remit interest earned on advances to the Department. These requirements also apply to subrecipients subject to Part 80. The address for interest remittances to the Department is:

U.S. Department of Education
P.O. Box 979053
St. Louis, MO 63197-9000

The remittance should be accompanied by a letter stating that the remittance is for "interest earned on Federal funds" and should include the DUNS number.

- Recipients must use grant funds only for obligations incurred during the funding period.

- Recipients must distribute Federal funds to subrecipients only when requested by the subrecipient and as needed to pay program costs.

Recipients have other responsibilities regarding the use of Federal funds. We highlight the following practices related to the draw of Federal funds that are either required by EDGAR or will assist recipients in meeting their responsibilities under EDGAR.

- Recipients must regularly monitor the payment requests made by their subrecipients to ensure that those requests conform to the same payment requirements that apply to the recipient. See 34 CFR Part 80 Section 20(b)(7);

- Recipients must regularly monitor the fiscal activity of their subrecipients on a continuous basis and ensure that their subrecipients return interest earned;

- If expenditures under the program or project require the recipient's board or specified officials to approve expenditures, the recipient should obtain that approval before making the payment request for any expenditure, thus minimizing the period of time that funds remain in the recipient's bank account pending disbursement of the funds for expenditures under the program or project. See 34 CFR 74.21(b)(5) and 80.22(a); and

- Plan carefully for cash flows for your grant project and review projected cash requirements before each drawdown. See 34 CFR 74.21 and 74.22 or 80.20 and 80.21, as applicable.

Recipients that do not follow the cash management requirements applicable to their grants could be:

- Placed on a "cash-reimbursement" payment method, i.e., a recipient would have to pay for grant activities with its own money and submit documentation of the expenditures to the Department before receiving reimbursement from the Department;

- Designated a "high-risk" recipient under 34 CFR 74.14 or 80.12, as applicable, which may involve the imposition of conditions in addition to that of being placed on a reimbursement payment system;

- Subjected to further corrective action, including withholding of funds, suspension, and termination of the award. See 34 CFR 74.62 or 80.43, as applicable;

- Denied funding under future Department discretionary grant competitions. See 34 CFR Part 75 Section 217(d)(3)(ii); and

- Debarred or suspended under 34 CFR Part 85 from receiving future Federal awards from any executive agency of the Federal government.

A small number of ED grant programs have program-specific cash management and payment requirements based on the authorizing legislation or program regulations. These program-specific requirements may supplement or override the general EDGAR cash management or payment requirements. If you have any questions about your specific grant, please contact the program officer, whose contact information is on your Grant Award Notification (GAN).

ED's Office of the Chief Financial Officer will provide ongoing outreach efforts regarding cash management and payment requirements, including supplementary webinars, URL links and Frequently Asked Question sheets.

Thank you for your attention to this matter. If you have any questions, please contact Cynthia Heath at (202) 245-8043 or cynthia.heath@ed.gov

ENCLOSURE 5

Recipients of ED Grants and Cooperative Agreements
Frequently Asked Questions

Q **What are the Federal Laws and Regulations on cash management?**

A The Cash Management Improvement Act of 1990 (CMIA) is the overriding public law for cash management. It was enacted by Public Law 101-453, 31 U.S.C. 3335 and 6503. The implementing regulations are in Title 31 of the Code of Federal Regulations (CFR), Part 205, http://www.fms.treas.gov/fedreg/31cfr205final.pdf. In addition, the Education Department General Administrative Regulations (EDGAR) defines the CFR specific to administering the U.S. Department of Education's (the Department's) grants in 34 CFR, Part 74 and Part 80, http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html.

Q **What are the CMIA requirements?**

A States that draw funds under programs subject to the CMIA must draw funds as required under the Treasury-State Agreement (TSA) for the State. If a State draws funds under one of these programs to make payments to a subrecipient, the payment request to the Department should only be made at the request of the subrecipient, which must make draw requests to the State as required under the requirements in EDGAR.

Q **What are the Education Department General Administrative Regulations (EDGAR) requirements?**

A Payments to States and other governments under programs not covered by the State's TSA and payments to other governments are subject to the requirements in Part 80 of EDGAR. These payment requirements also apply to all other types of recipients under Part 74 of EDGAR, which applies to nonprofit organizations, institutions of higher education, hospitals, and commercial organizations. States that draw funds on behalf of subrecipients under programs not covered by a TSA should remind subrecipients that they may only request funds from the State under the payment standards in Part 74 or Part 80, as applicable. The EDGAR is available on the Web at http://www.access.gpo.gov/nara/cfr/waisidx_08/34cfrv1_08.html.

Q **What is a Treasury-State Agreement (TSA)?**

A A TSA documents the accepted funding techniques and methods for calculating interest agreed upon by the U.S. Department of the Treasury (Treasury) and a State. It also identifies the Federal assistance programs. The CMIA's implementing regulations at 31 CFR 205 will govern if there are any inconsistencies. A TSA will be effective until terminated, unless Treasury and a State agree to a specific termination date. Treasury or a State may terminate a TSA with 30 days written notice.

Q **What if there is no TSA?**

A When a State does not have a TSA in effect, default procedures will be prescribed to implement 34 CFR, subpart A. The default procedures will prescribe efficient funds transfer procedures consistent with State and Federal law and identify the covered Federal assistance programs and designated funding techniques. When the Department and a State reach agreement on some but not all Federal assistance programs administered by the State, the Department and the State may enter into a TSA for all programs on which we are in agreement and we may prescribe default procedures governing those programs on which we are unable to reach agreement.

Q **What is a Federal-State Agreement?**

A A Federal-State Agreement is an agreement between a State and a Federal Program Agency specifying terms and conditions for carrying out a Federal assistance program or group of programs. This is different from a TSA.

Q **Who is responsible for Cash Management?**

A The Department's grant and cooperative agreement recipients (recipients) are charged with the administration of Federal funds. In addition, recipients are responsible for ensuring that subrecipients are aware of cash management policies. For more information, see the recently issued Memorandum from the Chief Financial Officer on Cash Management which is posted on the ed.gov "ED Memoranda to Grantees" page at http://www2.ed.gov/policy/fund/guid/gposbul/gposbul.html.

Q **Who is responsible for monitoring cash drawdowns to ensure compliance with cash management policies?**

A Recipients must monitor their cash drawdowns and their subrecipients to assure substantial compliance to the standards of timing and amount of advances. Additionally, when considered necessary and feasible by the Federal agency, recipients may be required to report the amount of cash advances in excess of three days' needs in their hands and of their subrecipients and to provide short narrative explanations of actions taken by the recipient to reduce the excess balances.

Q **How soon may I draw down funds from the G5 grants management system (G5 replaced E-Payments in December 2007)?**

A Grantees are required to minimize the amount of time between the drawdown and the use of funds from their bank accounts. (See EDGAR §74.21-22 and §80.20-21.) Funds must be drawn only to meet a grantee's immediate cash needs for each individual grant. Each time you use the G5 system to draw down a payment you check a box certifying that you are adhering to cash management requirements and that the funds will be spent within 3 days. The G5 screen displays the following message: I certify, by processing this payment request and/or re-allocation, that the funds are being expended within three business days of receipt for the purpose and condition of the agreement.

Q **How may I use Federal funds?**

A Federal funds must be used as specified in the Grant Award Notification (GAN).

Q **What if I used Federal funds for other than the specific purpose for which it was given?**

A This will be deemed a disallowed expenditure, and funds (including any earned interest) must be returned to the Department.

Q **What are excess cash balances?**

A Excess cash balances are funds maintained at the recipient/subrecipient's level in excess of immediate (usually 3 days) needs. Excess cash balances must be promptly withdrawn from account and returned to the Department.

Q **What are the consequences to recipients/subrecipients for not complying with terms of the grant award?**

A If a recipient or subrecipient materially fails to comply with any term of an award, whether stated in a Federal statute or regulation, EDGAR, an assurance, a cooperative agreement, a TSA, an application, a notice of award, or elsewhere, the awarding agency may take one or more of the following actions:

(1) Temporarily withhold cash payments pending correction of the deficiency by the recipient or subrecipient or more severe enforcement action by the awarding agency,
(2) Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance,
(3) Wholly or partly suspend or terminate the current award for the recipient's or subrecipient's program,
(4) Withhold further awards for the program, or
(5) Take other remedies that may be legally available.

Q **Who is responsible for determining the amount of interest owed to the Department?**

A As set forth in 31 CFR 205.9, a TSA must include the method a State uses to calculate and document interest liabilities. A State must calculate and report interest liabilities on the basis of its fiscal year. A State must ensure that its interest calculations are auditable and retain a record of the calculations. A non-State entity must keep track of any interest earned on Federal funds and promptly remit it to the government. Also, see the June 15, 2010, memorandum from the Department's Chief Financial Officer on Department of Education Cash Management Policies for Grants and Cooperative Agreements posted at http://www2.ed.gov/policy/fund/guid/gposbul/gposbul.html.

Q **How is interest earned on Federal funds calculated?**

A If you earn interest on Federal funds, you must return the actual amount earned to the Department. If the disbursement arrangement is subject to a TSA, then the recipient must adhere to the interest calculation method specified in the TSA. Recipients that are not subject to a TSA (non-TSA recipients), along with subrecipients, must return actual interest earned on cash balances to the Department. In some cases, non-TSA recipients or subrecipients may not be able to readily identify the actual amount and must calculate the interest earned on Federal cash balances. For these cases, here are some guiding principles for non-TSA recipients and subrecipients to consider when performing interest calculations:

- Non-TSA recipients and subrecipients should calculate interest earned on Federal cash balances using the same method that was used to determine their interest earnings on cash balances from all sources. For example, Federal interest should be calculated using the average daily balance method if this method was used to calculate interest on Federal and non-Federal cash balances (all sources).
- Federal interest should be calculated using the same interest rate at which the non-TSA recipient or subrecipient earned interest on cash balances from all sources. Because interest earned on Federal cash balances must be calculated and remitted quarterly, the rate used in these calculations should be the applicable rate for that quarter.
- The amount of interest earnings remitted to the Department should not be reduced in order to compensate for the temporary use of other non-Federal cash resources to pay Federal program costs. This is true whether the non-TSA recipient or subrecipient normally receives Federal funds through an advance or reimbursement funding method.

Q **May we keep interest earned on Federal funds?**

A A recipient/subrecipient subject to EDGAR 34 CFR Part 74 may keep up to $250/year of interest earned on excess Federal fund advances to cover administrative costs. All other amounts must be returned to the Department of Health and Human Services.

A recipient/subrecipient subject to EDGAR 34 Part 80 may keep up to $100/year of interest earned on excess Federal fund advances to cover administrative costs. All other amounts must be returned to the Department of Education.

Q **Where should I return interest earned on Federal funds?**

A Recipients subject to Part 74 of EDGAR must return to the U.S. Department of Health and Human Services (HHS) the interest earned on advances of grant funds except that the recipient may retain up to $250 of interest earned on the account each year to pay for the costs of maintaining the account. These requirements also apply to subrecipients subject to Part 74 Section 22 (l), which requires these recipients and subrecipients to annually remit interest earned on advances of funds.

The address for interest remittances to HHS is:

U.S. Department of Health and Human Services
P.O. Box 6120, Suite 1133
Rockville, MD 20852

Recipients subject to Part 80 of EDGAR must return to the Department the interest earned on advances of grant funds except that the recipient may retain up to $100 of interest earned on the account each year to pay for the costs of maintaining the account. Section 80.21(i) requires these recipients to promptly (at least quarterly) remit interest earned on advances to the Department. These requirements also apply to subrecipients subject to Part 80.

The address for interest remittances to the Department is:

U.S. Department of Education
P.O. Box 979053
St. Louis, MO 63197-9000

Q **What information should accompany my interest payment?**

A Recipient/subrecipient should note their DUNS number as well as any other identifiable information specific to the award and the recipient/subrecipient.

Q **Are grant recipients/subrecipients automatically permitted to draw funds in advance of the time they need to disburse funds in order to liquidate obligations?**

A No. Section 80.21 of the EDGAR prescribes several methods a recipient may use to make payments to subrecipients. The State educational agency as the recipient, however, has the authority to determine which method it will use to make payments to its subrecipients within the State.

Q **For formula grant programs such as ESEA Title I, for which States distribute funds to LEAs, may States choose to pay LEAs on a reimbursement basis?**

A Yes. Section 80.21 of the EDGAR authorizes States to implement a payment system in which LEAs are reimbursed monthly; quarterly; or, in some cases, semi-annually. A reimbursement process is a State choice and not mandated by ED. Section 80.21 of EDGAR also allows recipients and subrecipients to be paid in advance, provided they maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds and their disbursement by the recipient or subrecipient.

Q **What are the exceptions to adhering to cash management requirements?**

A A small number of ED grant programs have program-specific cash management and payment requirements based on the authorizing legislation or program regulations. These program-specific requirements may supplement or override the general EDGAR cash management or payment requirements. If you have any questions about your specific grant, please contact the program officer, whose contact information is on your Grant Award Notification (GAN).

Q **Will the Department issue special procedures in advance if G5 plans to shut down for 3 days or more?**

A Yes, the Department will issue special guidance for drawing down funds during a G5 shut down period of 3 days or more. The guidance will include cash management improvement act procedures for States and certain State institutions of higher education and procedures for grants (including Pell grants) that are not subject to CMIA. Early notice is provided to all grantees to plan accordingly.

Attachment F

Request for Approval of Program Income

In projects that generate program income [10], the recipient calculates the amount of program income according to the guidance given in:

- 34 CFR 74.20(f) [institutions of higher education, nonprofit organizations, and hospitals]; or
- 34 CFR 80.25(c) [State and local governments and Federally recognized Indian tribes].

Unless checked below as NOT ALLOWED, the recipient may exercise any of the options or combination of options, as provided in EDGAR [11], for using program income generated in the course of the recipient's authorized project activities:

_____ Not Allowed Adding program income to funds committed to the project by the Secretary and recipient and using it to further eligible project or program objectives;

_____ Not Allowed Using program income to finance the non-Federal share of the project or program; and

_____ Not Allowed Deducting program income from the total project or program allowable cost in determining the net allowable costs on which the Federal share of costs is based.

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10) As defined in §74.2 and §80.25(b) of the Education Department General Administrative Regulations (EDGAR)

11) 34 CFR 74.24(a)-(h) [Institutions of higher education, nonprofit organizations, and hospitals]; or 34 CFR 80.25(a)-(h) [State and local governments and Federally-recognized Indian tribes]

12/13/2005

Trafficking in Persons

The Department of Education adopts the requirements in the Code of Federal Regulations at 2 CFR 175 and incorporates those requirements into this grant through this condition. The grant condition specified in 2 CFR 175.15(b) is incorporated into this grant with the following changes. Paragraphs a.2.ii.B and b.2.ii. are revised to read as follows:

> "a.2.ii.B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 34 CFR part 85."
>
> "b.2.ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 34 CFR part 85."

Under this condition, the Secretary may terminate this grant without penalty for any violation of these provisions by the grantee, its employees, or its subrecipients.

ATTACHMENT R

CCR AND DUNS INFORMATION TIP SHEET

The **American Recovery and Reinvestment Act of 2009 (ARRA)** requires that all primary grant awardees and their first tier grant awardees create and/or validate existing **Central Contractor Registration (CCR) and Data Universal Numbering System (DUNS)** registration data to be eligible for ARRA funds. All primary grant awardees must be registered, and ensure that their first tier awardees register ***immediately,*** following the guidance outlined below.

1. **Registering for a DUNS number.**

a) To verify or register for a DUNS number, go to the Dun & Bradstreet website at : http://fedgov.dnb.com/webform/displayHomePage.do to apply.

b) The following lists the information you will need to obtain a DUNS number:

Name of organization
Organization address
Name of the CEO/organization owner
Legal structure of the organization (corporation, partnership, proprietorship)
Year the organization started
Primary type of business
Total number of employees (full and part time)

2. **Registering in CCR.**

a) To register with CCR, go to http://www.ccr.gov . For assistance with CCR registration, you can call the Federal Service Desk at 1-866-606-8220.

b) If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Biz POC). For applications being submitted through Grants.gov, this person will be responsible for authorizing who within your organization has the responsibility to submit applications.

c) The following lists the information you will need to register in CCR:

DUNS number
Tax Identification Number (TIN) and Taxpayer name used in Federal tax matters
Statistical information about your organization
Electronic Funds Transfer (EFT) information for payment of invoices

For More Information on the DUNS and CCR registration process, visit **www.Grants.gov**

Frequently Asked Questions

1. What is a DUNS number and why is obtaining a DUNS number necessary to receive ARRA funds?

The DUNS number is a unique nine-character number that identifies your organization. The Federal government has adopted the use of DUNS numbers to track how Federal grant money is allocated. An organizations DUNS number will be used to identify how ARRA funds are being spent. Most large organizations, libraries, colleges and research universities already have DUNS numbers.

2. How long will it take to receive a DUNS number?

You should receive the DUNS number on the same day.

3. What is the CCR and why is registration in CCR necessary to receive ARRA funds?

The CCR is a web-enabled government wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and the electronic payment processes. To meet reporting requirements of ARRA, registration with the CCR is required for primary and first tier awardees receiving ARRA funds and for organizations submitting applications through Grants.gov. Without the requirement to register in CCR, multiple first tier awardees doing business with the primary recipient might report data on their ARRA funding inconsistently by using different variations of the primary recipients name, address, or parent organization. Registration in the CCR will help eliminate this issue, and will ensure consistent reporting of useful data as required by ARRA.

When your organization registers with CCR, you must designate an E-Business Point of Contact (E-Biz POC). The E-Biz POC uses the MPIN (Marketing Personal Identification Number) given by the CCR to login to Grants.gov and to designate which staff members from your organization are allowed to submit applications electronically through Grants.gov. Please refer to the CCR Handbook at http://www.ccr.gov/Handbook.aspx for assistance. CCR requires that organizations renew their CCR registration annually. Your CCR E-Biz POC should check your renewal status annually at https://www.bpn.gov/CCRSearch/Search.aspx .

If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page at http://www.ccr.gov/FAQ.aspx or call the Federal Service Desk at 1-866-606-8220.

4. How long will it take for my information to activate in CCR?

CCR takes one to three days to gather the internal organization information and prepare the application. If your organization already has an Employer Identification Number (EIN) or TIN, then you should allow a minimum of 48 hours to complete the entire CCR registration.

If your organization does not have an EIN or TIN, then you should allow two weeks for obtaining the information from IRS when requesting the EIN or TIN via phone or Internet. The reason for the one- to three-day delay is due to security information that needs to be mailed to the organization.

ATTACHMENT S

SPECIAL CONDITIONS FOR DISCLOSING FEDERAL FUNDING IN PUBLIC ANNOUNCEMENTS

When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds included in this Act, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state

(1) the percentage of the total costs of the program or project which will be financed with Federal money;

(2) the dollar amount of Federal funds for the project or program; and

(3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Recipients must comply with these conditions under Public Law 111-8, the "Omnibus Appropriations Act, 2009", DIVISION F —DEPARTMENTS OF LABOR, HEALTH AND HUMAN SERVICES, AND EDUCATION, AND RELATED AGENCIES APPROPRIATIONS ACT, 2009, Title V—General Provisions, Sec. 506, March 11, 2009.

ATTACHMENT T

A. Award Term—Reporting and Registration Requirement under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act or ARRA") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The first report is due no later than ten calendar days after the initial calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act, or July 10, 2009. Thereafter, reports shall be submitted no later than the 10th day after the end of each calendar quarter.

(c) Recipients and their first-tier subrecipients (but not vendors for goods and services as distinguished in §__.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations) must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds.

(d) The recipient shall report the information described in section 1512(c) using the reporting instructions and data elements that will be provided online at www.FederalReporting.gov, and will provide any additional information required by the Department, unless the information is pre-populated in www.FederalReporting.gov_ and in any additional form required by the Department. At a minimum, grantees should anticipate reporting:

- the total amounts of ARRA funds received and expended or obligated;
- the name, description, and evaluation of the project or activity's completion status; and
- an estimate of the number of jobs that were saved or created with the funds.

B. Award Term—Infrastructure Certification Requirement under Section 1511 of the American Recovery and Reinvestment Act of 2009 (Recovery Act)

For infrastructure investment projects, the recipient, or appropriate chief executive, must post an online certification that the infrastructure investment received the full review and vetting required by law and that the recipient accepts responsibility that the investment is an appropriate use of taxpayer funds. This certification along with other required information such as a description of the investment, estimated total cost, and amount of Recovery Act funds to be used, must be posted and linked on the Recovery Accountability and Transparency Board website. A recipient may not use funds for infrastructure investment funding unless this certification is made and posted.

C. Award Term— Required Use of American Iron, Steel, and Manufactured Goods—Section 1605 of the American Recovery and Reinvestment Act of 2009

(a) *Definitions.* As used in this specific award term and condition—

ATTACHMENT T

"Construction material" means iron, steel, or manufactured goods brought to the construction site by the recipient, subrecipient or a subcontractor for incorporation into the public building or public work. However, emergency life safety systems, such as emergency lighting, fire alarm, and audio evacuation systems, that are discrete systems incorporated into a public building or work and that are produced as complete systems, are evaluated as a single and distinct construction material regardless of when or how the individual parts or components of those systems are delivered to the construction site.

"Manufactured good or product" means an item incorporated into the physical structure of the public building or used in a public work that is the result of processing materials by way of machinery and/or labor that produce a substantially different item. Where the basic form or function of the material processed remains the same, or the processing does not add value to the item, it is not manufactured. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

"Public building" and "public work" means a public building of, and a public work of, a governmental entity (the United States, the District of Columbia, commonwealths and territories of the United States and minor outlying islands, and State and local governments). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

"Steel" means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Domestic preference.*

(1) This award term and condition implements Section 1605 of the American Recovery and Reinvestment Act of 2009 (Recovery Act) (Pub. L. 111-5), by requiring that all iron, steel, and other manufactured goods used in the project are produced in the United States except as provided in paragraph (b)(3) and (b)(4) of this term and condition.

(2) This requirement does not apply to the material listed by the Government as follows:

NONE

(3) The award official may add other iron, steel, and/or other manufactured goods to the list in paragraph (b)(2) of this term and condition if the Federal Government determines that—

(i) The cost of the domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, or manufactured goods used in the project is unreasonable when the cumulative cost of such

ATTACHMENT T

material will increase the cost of the overall project by more than 25 percent;

(ii) The iron, steel, and/or manufactured goods is not produced or manufactured in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of Section 1605 of the Recovery Act.*

(1) (i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(3) of this term and condition shall include adequate information for Federal Government evaluation of the request, including—

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;
(B) Unit of measure;
(C) Quantity;
(D) Cost;
(E) Time of delivery or availability;
(F) Location of the construction project;
(G) Name and address of the proposed supplier; and
(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(3) of this term and condition.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.

(iii) The cost of iron, steel, and/or manufactured goods shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal Government determines after award funds have been obligated for a project for construction, alteration, maintenance or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount or redistribution of budgeted funds, as appropriate, to cover costs associated with acquiring or using the foreign iron, steel, and/or manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, and/or manufactured goods, the award official shall adjust the

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award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods is noncompliant with section 1605 of the American Recovery and Reinvestment Act.

(d) *Data.* To permit evaluation of requests under paragraph (c) of this term and condition based on unreasonable cost, the Recipient shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Items Cost Comparison

Description	Unit of Measure	Quantity	Cost (Dollars)*
Item 1:			
Foreign iron, steel, and/or manufactured goods	______	______	______
Domestic iron, steel, and/or manufactured goods	______	______	______
Item 2:			
Foreign iron, steel, and/or manufactured goods	______	______	______
Domestic iron, steel, and/or manufactured goods	______	______	______

[*List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.*]
[*Include other applicable supporting information.*]
[* *Include all delivery costs to the construction site.*]

D. Award Term—Required Use of American Iron, Steel, and Manufactured Goods (Covered under International Agreements)—Section 1605 of the American Recovery and Reinvestment Act of 2009.

(a) *Definitions.* As used in this award term and condition—

"Construction material" means iron, steel, or manufactured goods brought to the construction site by the recipient, subrecipient or a subcontractor for incorporation into the public building or public work. However, emergency life safety systems, such as emergency lighting, fire alarm, and audio evacuation systems, that are discrete systems incorporated into a public building or work and that are produced as complete systems, are evaluated as a single and distinct construction material regardless of when or how the individual parts or components of those systems are delivered to the construction site.

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"Designated country" --

(1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom;

(2) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); or

(3) A least developed country (Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Central African Republic, Chad, Comoros, Democratic Republic of Congo, Djibouti, East Timor, Equatorial Guinea, Eritrea, Ethiopia, Gambia, Guinea, Guinea-Bissau, Haiti, Kiribati, Laos, Lesotho, Liberia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mozambique, Nepal, Niger, Rwanda, Samoa, Sao Tome and Principe, Senegal, Sierra Leone, Solomon Islands, Somalia, Tanzania, Togo, Tuvalu, Uganda, Vanuatu, Yemen, or Zambia)

"Designated country iron, steel, and/or manufactured goods" --

(1) Is wholly the growth, product, or manufacture of a designated country; or

(2) In the case of a construction material that consists in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different construction material distinct from the materials from which it was transformed.

"Manufactured good" means an item incorporated into the physical structure of the public building or used in a public work that is the result of processing materials by way of machinery and/or labor that produce a substantially different item. Where the basic form or function of the material processed remains the same, or the processing does not add value to the item, it is not manufactured. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

"Public building" and "public work" means a public building of, and a public work of, a governmental entity (the United States, the District of Columbia, commonwealths and territories of the United States and minor outlying islands, and State and local governments). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

"Steel" means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Iron, steel, and manufactured goods.*

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(1) This award term and condition implements
  (i) Section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States; and
  (ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the Recovery Act do not apply to designated country iron, steel, and manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services, or where the iron, steel or manufactured goods are from a least developed country. This obligation shall only apply to projects with an estimated value of $7,443,000 or more.

(2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this term and condition.

(3) The requirement in paragraph (b)(2) of this term and condition does not apply to the iron, steel, and manufactured goods listed by the Government as follows:

NONE.

(4) The award official may add other iron, steel, and/or manufactured goods to the list in paragraph (b)(3) of this clause if the Federal Government determines that—
  (i) The cost of domestic iron, steel, and manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;
  (ii) The iron, steel, and/or manufactured goods is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality; or
  (iii) The application of the restriction of section 1605 of the Recovery Act to a particular construction material would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of section 1605 of the Recovery Act or the Buy American Act.*

(1) (i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph(b)(4) of this term and condition shall include adequate information for Federal Government evaluation of the request, including—
  (A) A description of the foreign and domestic iron, steel, and/or manufactured goods;
  (B) Unit of measure;
  (C) Quantity;
  (D) Cost;

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(E) Time of delivery or availability;
(F) Location of the project;
(G) Name and address of the proposed supplier; and
(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this term and condition.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.

(iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal Government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount or resdistribution of budgeted funds, as appropriate, to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or resdistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to the section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.

(d) *Data.* To permit evaluation of requests under paragraph (b) of this term and condition, based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers:

Foreign and Domestic Items Cost Comparison

Description	Unit of Measure	Quantity	Cost (Dollars)*
Item 1:			
Foreign iron, steel, and/or manufactured goods	______	______	______
Domestic iron, steel, and/or manufactured goods	______	______	______

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Item 2:

Foreign iron, steel, and/or manufactured goods	______	______	______
Domestic iron, steel, and/or manufactured goods	______	______	______

[*List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.*]
[*Include other applicable supporting information.*]
[* *Include all delivery costs to the construction site.*]

E. Award Term—Wage Rate Requirements under Section 1606 of the American Recovery and Reinvestment Act of 2009

a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR Parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of $2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Grant recipients should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

F. Award Term—Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Subrecipients

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215, subpart ___. 21 "Uniform Administrative Requirements for Grants and Agreements" and OMB A-102 Common

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Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under the Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to subrecipients shall distinguish the subawards of incremental Recovery Act funds from regular subawards under the existing program.

(d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office

G. Award Term—Reporting of Fraud and Misconduct

Each recipient and subrecipient awarded funds made available under the Recovery Act must promptly refer to the Department of Education's Office of Inspector General any credible evidence that a principal officer, employee, agent, contractor, subrecipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. Information about the Office of Inspector General Hotline is available at: http://www.ed.gov/about/offices/list/oig/hotline.html

G. Award Term—Reporting under section 14008 of the American Recovery and Reinvestment Act of 2009

For each year of the program, a State must submit to the Secretary, at such time and in such manner as the Secretary may require, a report that describes –

(1) the uses of funds provided under this title within the State;

(2) how the State distributed the funds it received under this title;

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(3) the number of jobs that the Governor estimates were saved or created with funds the State received under this title;

(4) tax increases that the Governor estimates were averted because of the availability of fund from this title ;

(5) the State's progress in reducing inequities in the distribution of highly qualified teachers, in implementing a State longitudinal data system, and in developing and implementing valid and reliable assessments for limited English proficient students and children with disabilities;

(6) the tuition and fees increases for in-State students imposed by public institutions of higher education in the State during the period of availability of funds under this title, and a description of any actions taken by State to limit those increases;

(7) the extent to which public institutions of higher education maintained, increased, or decreased enrollment of in-State students, including students eligible for Pell Grants or other need-based financial statements; and

(8) a description of each modernization, renovation and repair project funded, which shall include the amounts awarded and project costs.

Attachment T2
Phase 2 Race to the Top
Grant Conditions

A. All commitments contained in the Grantee's (State) Application, including the structure of the Grant Project and the proposed uses of Grant funds, are and will remain fully binding on the Grantee and its subgrantees. Funds may only be used for activities proposed in the State's approved grant application, unless otherwise approved by the Department. The Grantee and its subgrantees are responsible for implementing and adhering to the Scopes of Work, including the Timelines, and Budgets, referenced in condition B below. The Grantee may request a revision of its approved Grant Project, including goals, activities, timelines, budget, or annual targets provided that:

1) Such revisions do not result in the Grantee's failure to comply with the terms and conditions of this award and the Program's statutory and regulatory provisions; and
2) The U.S. Department of Education (ED or Department) and the Grantee must mutually agree in writing to such revisions. ED has sole discretion to determine whether or not to agree to such revisions or modifications.

In the event that ED determines that the Grantee (or Grantee determines that a subgrantee) is not meeting its goals, activities, timelines, budget, or annual targets or is not fulfilling other applicable requirements, ED (or the Grantee) will take appropriate enforcement action(s), which could include a collaborative process between ED and the State, the State and an LEA, or any of the enforcement measures that are set forth in 34 CFR section 80.43 in the Education Department General Administrative Regulations (EDGAR) including putting the Grantee or subgrantee on reimbursement payment status, withholding funds, disallowing costs, or exercising any available legal remedy.

B. As soon as possible but no later than 90 calendar days from the August 24 announcement of this grant award, the Grantee must submit:

1) Detailed final scopes of work for all of its participating local educational agencies (LEAs). These must contain work plans that are consistent with the preliminary scopes of work and with the Grantee's application, and must include each participating LEA's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures. If the number of participating LEAs submitting these final scopes of work is not the same or substantially similar to the number of participating LEAs described in the grant application, or if the number of students served by these participating LEAs is not the same or substantially similar to the number served by the participating LEAs described in the grant application, the Department may pursue available enforcement remedies set forth in 34 CFR section 80.43 in EDGAR, including full or partial termination of the grant award. The Grantee's participating LEA Memoranda of Understanding

(MOU) or other binding agreements may be amended only by written agreement signed by each of the parties involved, and in consultation with ED.

2) A detailed scope of work for the entire State project that is consistent with the Grantee's application. This scope of work should also include the State Grantee's specific goals, activities, timelines, budgets, key personnel, and annual targets for key performance measures related to the State's 50 percent share of the grant funds.

C. The Grantee may draw down no more than 12.5 percent of the grant until all of the required State and LEA scopes of work, including participating LEA information, detailed timelines, and budgets referenced in condition B, are submitted to and approved by the Department.

D. All Race to the Top funds must be used in accordance with the Grantee's approved application; the detailed scopes of work, including timelines and budgets, referenced in condition B; and the requirements of section 14005 and 14006 of the American Recovery and Reinvestment Act (ARRA), as authorized under P.L. 111-5, and applicable regulations including 34 CFR Parts 75, 77, 80 (except section 80.30 (c)), 81, 82, 84, 85, 97, 98, and 99.

E. The Grantee and its subgrantees must comply with all of the assurances and certifications that the Grantee submitted with its Application, including OMB Standard Form 424B (Assurances for Non-Construction Programs), the certifications in ED Form Certification regarding Lobbying , as well as all applicable operational and administrative provisions in Title XV and XVI of ARRA.

F. If the Grantee did not provide evidence of its adoption of a common set of K–12 standards (as described in its grant application) by August 2, 2010, it must do so by a later date in 2010 consistent with its approved application and as approved by the Department. All grantees must show implementation of the standards during the project period.

G. Preaward costs, used in accordance with the Grantee's approved application, and incurred by the Grantee, beginning on August 24, 2010, are allowable under this grant.

H. With respect to 34 CFR section 80.30(c) "Budget changes" provisions, the Grantee and subgrantees must obtain prior written approval from ED for transfers among direct cost categories and among separately budgeted programs, projects, functions, or activities that exceed $100,000 of the current total approved budget.

I. The Grantee and its subgrantees will conduct all procurement transactions for services or goods with Race to the Top grant funds in a manner providing full and open competition, consistent with the standards in 34 CFR section 80.36. This section requires that Grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR.

In addition, the Grantee will maintain and enforce its state procurement laws and procedures regarding standards of conduct governing the performance of its employees, officers, directors, trustees, and agents engaged in the selection, award, and administration of contracts or agreements related to the Grant. The standards of conduct must, at a minimum, be consistent with the requirements in 34 CFR section 75.525.

J. The Grantee will not commingle Race to the Top Grant funds with other funds under control of the Grantee, even if such other funds are used for similar purposes. Similarly the Grantee will ensure that its subgrantees adhere to this same standard. The Grantee will ensure that all Grant and subgrant costs incurred using Grant funds are necessary and reasonable. The burden of proof is upon the Grantee to establish that costs are necessary and reasonable.

K. Consistent with 34 CFR section 80.20, the Grantee and its subgrantees are required to establish procedures to minimize the time elapsing between the receipt of Federal funds and their actual disbursement. When advances are made by letter-of-credit or electronic transfer of funds methods, the Grantee must make drawdowns as close as possible to the time of disbursement and also ensure that subgrantees adhere to a similar standard. Additionally, as required by 34 CFR section 80.20 and applicable OMB cost circular A-87, grantees must keep adequate records of salaries and wages charged to the RTT grant.

L. The Grantee agrees to cooperate with and assist ED in performing any financial, performance or compliance reviews or audits conducted of the Grant Project, as ED may determine to be necessary, and to comply with all program reporting requirements including participating in an electronic monitoring system if ED develops one during the course of this grant.

Specifically, the Grantee will cooperate with ED by providing information that ED may request relative to this program, including information on the steps that the Grantee is taking to ensure accountability for the use of funds by all entities. Consistent with 34 CFR section 80.40, grant performance reports will contain, at a minimum, information on the following:

1) A comparison of actual accomplishments to the objectives established for the period;
2) The reasons for established objectives not being met; and
3) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs. Consistent with 34 CFR section 80.41, grant financial reports must be in the form and at the frequency that ED prescribes for each fiscal year that the Grantee's obligation to ED remains in effect.

Additionally, the Grantee agrees to cooperate with audits conducted by the General Accountability Office (GAO), and will arrange for the non-federal audit as required by 34 CFR section 80.26.

M. These Federal funds may be used for construction or major renovation if it is detailed in the Grantee's approved grant application. Any laborers and mechanics employed by contractors or subcontractors on minor remodeling (as defined in 34 CFR section 77.1) projects over $2,000 assisted with these funds must be paid in accordance with prevailing wage requirements in the Davis-Bacon Act. If the Grantee or an LEA subgrantee plans to use grant funds for any of these types of projects, the Grantee must consult with ED and ensure that any applicable ARRA-related construction conditions included in Attachment T to this grant are implemented.

N. Consistent with 34 CFR section 80.40, the Grantee is responsible for managing the day-to-day operations of grant and subgrant-supported tasks and activities. This includes:
1) The Grantee and its subgrantees actively participating in all relevant convenings, communities of practice, trainings, or other activities that are organized or sponsored by the State or by ED;
2) The Grantee and its subgrantees making work developed under the grant freely available, including by posting to any website or other publication process and to any technical standards specified by ED (and the Grantee for subgrantees), in a timely manner, unless otherwise protected by law or agreement as proprietary information;
3) Participating, as requested, in any research and evaluations of this grant conducted by ED or its designees (or the Grantee for subgrantees);
4) Responding to ED's or its designee's (or the Grantee for subgrantees) requests for information including on the status of the project, project implementation, lessons learned, outcomes, and any problems anticipated or encountered;
5) Participating in meetings and telephone conferences with ED or its designees (or the Grantee for subgrantees) to discuss (a) progress of the project, (b) potential dissemination of resulting work, (c) plans for subsequent years of the Race to the Top grant period, and (d) other matters related to the Race to the Top grant and associated plans;
6) Grantee assistance to participating LEAs in implementing their tasks and activities described in the State's Race to the Top application, including (a) Working collaboratively with, and supporting their final scopes of work; (b) Timely distributing the LEAs' portion of Race to the Top grant funds during the course of the project period and in accordance with the scopes of work; (c) Providing feedback on the LEAs' status updates, annual reports, any interim reports, and project plans and products; and (d) Identifying sources of technical assistance for the project;
7) The Grantee must provide timely and complete access to any and all data collected at the State level (not restricted to SEAs, since many States use other agencies to collect teacher or budget data) to ED or its designated program

monitors, technical assistance providers, or researcher partners, and to GAO, and the auditors conducting the audit required by 34 CFR section 80.26;
8) Appointing a Grantee key contact person, as well as one for each Participating LEA, for this Race to the Top grant;
9) (a) Complying with 34 CFR section 75.517 regarding acquiring ED prior approval regarding changes in key grant personnel or their level of involvement;
(b) If a grantee has significant changes in key grant personnel, the Department may require a transition plan and/or a short term interim spending plan for approval by the Department that would be submitted within a specified reasonable period of time in order to ensure that the grant performance is not affected; and
10) Maintaining frequent communication between ED and the Grantee and its LEA subgrantees to facilitate cooperation under this grant.

O. The Grantee must monitor its grant and subgrant-supported activities to assure compliance with applicable Federal requirements and that the grant performance goals are being achieved throughout the whole project period. This includes ensuring that:
1)Participating LEA subgrantee personnel work together with the Grantee to determine appropriate timelines for project updates and status reporting throughout the whole grant period;
2) Grantee and subgrantee personnel negotiate in good faith to continue to achieve the overall goals of the State's Race to the Top grant project, even when the State Plan requires modifications that affect Participating LEAs, or when the LEAs' Plan require modifications.

As soon as possible, but no later than 180 calendar days from the August 24 announcement, the Grantee must submit in writing a plan, protocols, and a schedule for subrecipient monitoring, including both programmatic and fiscal issues.

P. The Grantee's Phase 1 and Phase 2 applications for funding under ED's State Fiscal Stabilization Fund (SFSF) program were approved prior to the Grantee's receipt of this Race to the Top grant. Under the SFSF program, for each of fiscal years 2009, 2010, and 2011, a State must maintain the levels of State support for elementary and secondary education and for public institutions of higher education, at least of the respective levels of such support for fiscal year 2006. If a State is unable to maintain such levels of support, it must meet the criterion for a waiver of this requirement.

Q. As part of the plan referenced in paragraph O, the Grantee must provide a description of how it will distribute funding to subrecipients, including the 50% of funds that will be distributed to Participating LEAs.

ATTACHMENT U

PROHIBITION OF TEXT MESSAGING AND EMAILING WHILE DRIVING DURING OFFICIAL FEDERAL GRANT BUSINESS

Federal grant recipients, sub recipients and their grant personnel are prohibited from text messaging while driving a government owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email when driving.

Recipients must comply with these conditions under Executive Order 13513, "Federal Leadership On Reducing Text Messaging While Driving," October 1,2009.

12/09

ATTACHMENT V

Registration of Data Universal Numbering System (DUNS) Number and Taxpayer Identification Number (TIN) in the Central Contractor Registration (CCR)

The U.S. Department of Education (Education) Grants Management System (G5) will begin disbursing payments via the U.S. Department of Treasury (Treasury) rather than directly through the Federal Reserve as in the past. The U.S. Treasury requires that we include your Tax Payer Identification Number (TIN) with each payment. Therefore, in order to do business with Education you must have a registered DUNS and TIN number with the CCR, the U.S. Federal Governments primary registrant database. If the payee DUNS number is different than your grantee DUNS number, both numbers must be registered in the CCR. Failure to do so will delay the receipt of payments from Education.

A TIN is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number (SSN) is issued by the SSA whereas all other TINs are issued by the IRS.

The following are all considered TINs according to the IRS.

- Social Security Number "SSN"
- Employer Identification Number "EIN"
- Individual Taxpayer Identification Number "ITIN"
- Taxpayer Identification Number for Pending ATIN"
- Preparer Taxpayer Identification Number "PTIN"

If your DUNS number is not currently registered with the CCR, you can easily register by going to www.ccr.gov. Please allow 3-5 business days to complete the registration process. If you need a new TIN, please allow 2-5 weeks for your TIN to become active. If you need assistance during the registration process, you may contact the CCR Federal Service Desk at 866-606-8220.

If you are currently registered with CCR, you may not have to make any changes. However, please take the time to validate that the TIN associated with your DUNS is correct.

If you have any questions or concerns, please contact the G5 Hotline at 888-336-8930.

EXECUTIVE CHAMBERS

HONOLULU

NEIL ABERCROMBIE
GOVERNOR

February 9, 2011

Ms. Melissa Siry
U.S. Department of Education
Office of Elementary and Secondary Education
Academic Improvement and Teacher Quality Programs
400 Maryland Avenue, SW Room 7E235
Washington, D.C. 20202-6200

Dear Ms. Siry:

Thank you for your support of our Hawaii efforts related to educational improvement including Race to the Top. Governor Neil Abercrombie is committed to better educational outcomes for our children and our state; education is this Governor's highest priority. As a Member of Congress during the Race to the Top application process, the Governor supported our state's applications with strong letters of support and is pleased to be able to partner with the Hawaii Department of Education, University of Hawaii and community partners in executing the Race to the Top reforms.

In order to improve the efficiency of our grant drawdown process for the Race to the Top grant, we ask that you transfer payee privileges and grant drawdown functions from the State of Hawaii Office of the Governor, to the State of Hawaii Department of Education, as follows:

Program: State Fiscal Stabilization Fund – State Incentive Grants, Recovery Act Race To The Top Competitive Grant

Grant Award Number: S395A100051

Transfer Request for Payee/Drawdowns:

From: State of Hawaii Office of the Governor
Grantee DUNS Number: 809930217

Grantee's Contact Information:
Amy Asselbaye, Chief of Staff
Office of the Governor, State of Hawaii
email: amy.asselbaye@hawaii.gov
phone: 808/586-7705

To: State of Hawaii Department of Education
DUNS Number: 80935513

Payee Contact Information:
Edwin Koyama, Accounting Director
Office of Fiscal Services
State of Hawaii Department of Education
email: edwin_koyama@notes.k12.hi.us
phone: 808/586-3450

Please let me know if you have any additional questions. We appreciate your assistance in this matter. If you have any questions, please contact Tammi Chun, Policy Analyst for Education in the Office of the Governor, by phone 808/295-6960 or by email at tammi.chun@hawaii.gov. Thank you.

Sincerely,

Amy Asselbaye
Chief of Staff

cc: Kathryn S. Matayoshi, Superintendent of Education
Robert E. Campbell, Ph.D., Office of Strategic Reform
Tammi Chun, Policy Analyst, Office of the Governor

Fw: Payee - FYI
Robert_E_Campbell to: Tammi Oyadomari Chun, MAnderson 02/17/2011 06:19 AM
Kathryn_Matayoshi, Ronn_Nozoe, Adele_Chong,
Cc: Edwin_Koyama, Cara Tanimura, Christina_Tydeman,
Edward_Wada, Laurei_Nishi, Carole_Furuya

Bob Campbell
Office of Strategic Reform
(808) 586-3447
1390 Miller Street
Honolulu, HI 96813

"One thing is desire, another is reality" Dmytro Chygrynskiy

----- Forwarded by Robert E Campbell/SUPT/HIDOE on 02/17/2011 06:18 AM -----

"Siry, Melissa" <Melissa.Siry@ed.gov>
02/17/2011 03:51 AM

To Robert_E_Campbell/SUPT/HIDOE <Robert_E_Campbell/SUPT/HIDOE@notes.k12.hi.us>
cc
Subject Payee

The payee for Race to the Top has been changed. Let me know if you have any problems logging in to the system.
Thanks,
Melissa

Melissa Siry
Implementation and Support Unit, U.S. Department of Education
400 Maryland Ave. SW | Rm. 7E235 | Washington, DC 20202
phone: 202.260.0926 | fax: 202.401.3941 | melissa.siry@ed.gov

Race to the Top payee request

Tammi Oyadomari-Chun to: Robert_E_Campbell, edwin_koyama, Cara_Tanimura, Carole_Furuya, christina_tydeman, ronn_nozoe, Kathryn_Matayoshi, Mark Anderson, Karen.K.Matsunaga 02/10/2011 04:54 PM

1 attachment

payee_request.pdf

Attached is a letter being sent to Melissa Siry at US Department of Education. It asks USED to make HIDOE the payee for Race to the Top. Hopefully, HIDOE and Gov's office will be able to sign an MOA about the conditions of HIDOE as payee around the same time Melissa is able to initiate the change at USED. I'll work on the MOA this week; Bob, Cara, Kathy, et al have already seen the "guts" of the agreement.
Thanks
Tammi
--
Tammi Chun, Executive Director
Hawai'i P-20 Partnerships for Education
University of Hawai'i
808/956-5307
http://p20hawaii.org/

Allocation #: 632

APPROVED:

Adele Chong, Acting CFO, for Kathryn S. Matayoshi, Superintendent

04/12/2011

Date

RTTT-ALIGNMENT AND REFORM, 38800

Program: 38800, RTTT-ALIGNMENT AND REFORM
Program Manager: Robert E Campbell

A. AUTHORIZATION

1. Legal Provision
   Act 180, SLH 2010

2. Resources Provided

   a. Funding
      F — Apprn: S219

   b. Character of Expenditure
      Permanent FTE: 0.00
      Temporary FTE: 0.00

		General	Federal	Special
A	Personal Services	$0	$0	$0
A1	Other Personal Services	$0	$0	$0
B	Other Current Expenses	$0	$1,681,265	$0
C	Equipment	$0	$0	$0
M	Motor Vehicles	$0	$0	$0
	Total	$0	$1,681,265	$0
	Total Allocation	$1,681,265		

B. ALLOCATION PROPOSAL

GENERAL FUND ALLOCATIONS ARE TENTATIVE . THE AMOUNTS ALLOCATED MAY BE REDUCED BY EXECUTIVE RESTRICTIONS AND /OR INTERNAL REDUCTIONS .

RTTT-ALIGNMENT AND REFORM , 38800

1. Purpose

The purpose of this allocation is to provide funds awarded by the USDOE through the State Fiscal Stabilization Fund – State Incentive Grants, Recovery Funds, 84.395A in award number S395A100051. This is also known as the Race to the Top Grant. These funds specifically are to provide the approved fiscal support for those Criterion A activities described in the Budget Narrative approved by USDOE prior to the aforementioned award.

The approved Budget Narrative is entitled Budget Part II, 2 October 2010 and may be found on the Strategic Project Oversight Committee Share Point site under Budget/Fiscal. Only those activities identified to receive RTTT funding in the approved Criterion A Project Plans, as amended and approved by the USDOE or Project Sponsor when appropriate, may be supported with these funds.

2. Rationale for Allocation

The allocation is based on the submitted and approved budget required to implement those activities identified in the RTTT Project Plans to achieve the outcomes described in the Race to the Top Grant application narrative.

3. Guidelines for Implementation

The ARRA requires separate tracking and accounting of these funds tied to performance indicators. These funds will be allocated as a unique Program ID. These funds may not be combined with other general or federal funds. These funds shall be distributed in the following manner by the RTTT Project Sponsor via the allocation process.

Funds must be expended in accordance with the following:

1) SPOC approved RTTT Project Plan, including Section 10;
2) "FMS User Policy and Process Flow Guide;
3) Department personnel rules and regulations;
4) Education Department General Administrative Regulations (EDGAR) (particularly 80.36); and

5) OMB Circulars A-21, A-122, A-87 and A-133.

In the event that personnel costs are contained in the approved RTTT Budget and contained in the RTTT Project Plan the following is applicable:

1. A Payroll Certification (PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:

   a. Signed and dated within 30 days after the end of the reporting period, and

   b. For the six months ending December 31 and June 30 of each year.

2. A Payroll Certification (PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a

general funded program). The Certification shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. Report at the end of every month the actual amount of time the employee was engaged in program activities.

3. Payroll certifications shall be:

a. Filed and maintained with all other documentation of fiscal transactions (i.e., purchase orders and inventory control) at the organization level (i.e., school, section, or office) executing the authority to expend federal funds; and

b. Transmitted to the Office of Fiscal Services Accounting section via:

Fax to Office of Fiscal Services Accounting Section, Sharon Hiramoto, at (808) 586-3374, or

Courier to Office of Fiscal Services, Accounting Section, Attention: Sharon Hiramoto, or

PDF File(s) emailed via Lotus Notes to Sharon Hiramoto.

4. Allocation of Resources

A total of $1,681,265 shall be allocated in the following manner:

To Org ID	To RTTT Project	To Prog ID	"A"	"A1"	"B"	"C"	Total "T" Funds
535	A1a Accountability Framework	38810			$500,000		$500,000
728	A1b Aligned Planning (ACFIN/BSC)	38811			$145,270		$145,279
735	A1d Public Access Portal	38813			$176,985		$176,985
728	A2a Reorganization of Offices	38814	$519,396	$192,384	$74,950	$12,000	$798,730
027	A3a Community Engagement	38816			$60,280		$60,280

5. Key Performance Indicators

1. 95% of the project deliverables will on time.

2. 95% of the project revisions will be documented in the project plan.

3. 95% of the project activities will be done within the provided budget, as amended and approved by SPOC.

This is the first year of funding, so there is no baseline.

Report Required: No **Report Due Date:**

Allocation #: 626

APPROVED:

Adele Chong, Acting CFO, for Kathryn S. Matayoshi, Superintendent

04/11/2011

Date

RTTT-STANDARDS AND ASSESSMENT, 38801

Program: 38801, RTTT-STANDARDS AND ASSESSMENT
Program Manager: Robert E Campbell

A. AUTHORIZATION

1. Legal Provision
   Act 180, SLH 2010

2. Resources Provided

   a. Funding
      F　　　　Apprn: S219

   b. Character of Expenditure
      Permanent FTE: 0.00
      Temporary FTE: 0.00

		General	Federal	Special
A	Personal Services	$0	$0	$0
A1	Other Personal Services	$0	$0	$0
B	Other Current Expenses	$0	$317,548	$0
C	Equipment	$0	$0	$0
M	Motor Vehicles	$0	$0	$0
	Total	$0	$317,548	$0
	Total Allocation	$317,548		

B. ALLOCATION PROPOSAL

GENERAL FUND ALLOCATIONS ARE TENTATIVE . THE AMOUNTS ALLOCATED MAY BE REDUCED BY EXECUTIVE RESTRICTIONS AND /OR INTERNAL REDUCTIONS .

RTTT-STANDARDS AND ASSESSMENT , 38801

1. Purpose

The purpose of this allocation is to provide funds awarded by the USDOE through the State Fiscal Stabilization Fund – State Incentive Grants, Recovery Funds, 84.395A in award number S395A100051. This is also known as the Race to the Top Grant. These funds specifically are to provide the approved fiscal support for those Criterion B activities described in the Budget Narrative approved by USDOE prior to the aforementioned award.

The approved Budget Narrative is entitled Budget Part II, 2 October 2010 and may be found on the Strategic Project Oversight Committee Share Point site under Budget/Fiscal. Only those activities identified to receive RTTT funding in the approved Criterion B Project Plan, as amended and approved by the USDOE or Project Sponsor when appropriate, may be supported with these funds.

2. Rationale for Allocation

The allocation is based on the submitted and approved budget required to implement those activities identified in the RTTT Project Plan to achieve the outcomes described in the Race to the Top Grant application narrative.

3. Guidelines for Implementation

The ARRA requires separate tracking and accounting of these funds tied to performance indicators. These funds will be allocated as a unique Program ID. These funds may not be combined with other general or federal funds. Any further distribution of these funds must be done via the allocation process.

Funds must be expended in accordance with the following:

1) SPOC approved RTTT Project Plan, including Section 10;
2) "FMS User Policy and Process Flow Guide;
3) Department personnel rules and regulations;
4) Education Department General Administrative Regulations (EDGAR) (particularly 80.36); and

5) OMB Circulars A-21, A-122, A-87 and A-133.

In the event that personnel costs are contained in the approved RTTT Budget and contained in the RTTT Project Plan the following is applicable:

1. A Payroll Certification (PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. For the six months ending December 31 and June 30 of each year.

2. A Payroll Certification (PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a

general funded program). The Certification shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. Report at the end of every month the actual amount of time the employee was engaged in program activities.

3. Payroll certifications shall be:

a. Filed and maintained with all other documentation of fiscal transactions (i.e., purchase orders and inventory control) at the organization level (i.e., school, section, or office) executing the authority to expend federal funds; and

b. Transmitted to the Office of Fiscal Services Accounting section via:

Fax to Office of Fiscal Services Accounting Section, Sharon Hiramoto, at (808) 586-3374, or

Courier to Office of Fiscal Services, Accounting Section, Attention: Sharon Hiramoto, or

PDF File(s) emailed via Lotus Notes to Sharon Hiramoto.

4. Allocation of Resources

A total of $317,548 in "T" funds shall be allocated to RTTT Project B1a Common Core State Standards Implementation, Program ID 38817 for use by ORG ID 024 in the following manner:

TOTAL "T" Funds	"A"	"A1"	"B"	"C"
$317,548	163,152	73,072	77,324	4,000

5. Key Performance Indicators

1. 95% of the project deliverables will on time.

2. 95% of the project revisions will be documented in the project plan.

3. 95% of the project activities will be done within the provided budget, as amended and approved by SPOC.

This is the first year of funding, so there is no baseline.

Report Required: Yes **Report Due Date**: 06/30/2012

Allocation #: 630

APPROVED:

Adele Chong, Acting CFO, for Kathryn S. Matayoshi, Superintendent

04/12/2011

Date

RTTT-USING DATA TO IMPROVE RESULTS, 38802

Program: 38802, RTTT-USING DATA TO IMPROVE RESULTS
Program Manager: Robert E Campbell

A. AUTHORIZATION

1. Legal Provision
   Act 180, SLH 2010

2. Resources Provided

   a. Funding
      F — Apprn: S219

   b. Character of Expenditure
      Permanent FTE: 0.00
      Temporary FTE: 0.00

		General	Federal	Special
A	Personal Services	$0	$0	$0
A1	Other Personal Services	$0	$0	$0
B	Other Current Expenses	$0	$2,537,365	$0
C	Equipment	$0	$0	$0
M	Motor Vehicles	$0	$0	$0
	Total	$0	$2,537,365	$0
	Total Allocation	$2,537,365		

B. ALLOCATION PROPOSAL

GENERAL FUND ALLOCATIONS ARE TENTATIVE . THE AMOUNTS ALLOCATED MAY BE REDUCED BY EXECUTIVE RESTRICTIONS AND /OR INTERNAL REDUCTIONS .

RTTT-USING DATA TO IMPROVE RESULTS , 38802

1. Purpose

The purpose of this allocation is to provide funds awarded by the USDOE through the State Fiscal Stabilization Fund – State Incentive Grants, Recovery Funds, 84.395A in award number S395A100051. This is also known as the Race to the Top Grant. These funds specifically are to provide the approved fiscal support for those Criterion C activities described in the Budget Narrative approved by USDOE prior to the aforementioned award.

The approved Budget Narrative is entitled Budget Part II, 2 October 2010 and may be found on the Strategic Project Oversight Committee Share Point site under Budget/Fiscal. Only those activities identified to receive RTTT funding in the approved Criterion C Project Plans, as amended and approved by the USDOE or Project Sponsor when appropriate, may be supported with these funds.

2. Rationale for Allocation

The allocation is based on the submitted and approved budget required to implement those activities identified in the RTTT Project Plan to achieve the outcomes described in the Race to the Top Grant application narrative.

3. Guidelines for Implementation

The ARRA requires separate tracking and accounting of these funds tied to performance indicators. These funds will be allocated as a unique Program ID. These funds may not be combined with other general or federal funds. Any further distribution of these funds must be done via the allocation process.

Funds must be expended in accordance with the following:

1) SPOC approved RTTT Project Plan, including Section 10;
2) "FMS User Policy and Process Flow Guide;
3) Department personnel rules and regulations;
4) Education Department General Administrative Regulations (EDGAR) (particularly 80.36); and
5) OMB Circulars A-21, A-122, A-87 and A-133.

In the event that personnel costs are contained in the approved RTTT Budget and contained in the RTTT Project Plan the following is applicable:

1. A Payroll Certification (PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. For the six months ending December 31 and June 30 of each year.

2. A Payroll Certification (PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a

general funded program). The Certification shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. Report at the end of every month the actual amount of time the employee was engaged in program activities.

3. Payroll certifications shall be:

a. Filed and maintained with all other documentation of fiscal transactions (i.e., purchase orders and inventory control) at the organization level (i.e., school, section, or office) executing the authority to expend federal funds; and

b. Transmitted to the Office of Fiscal Services Accounting section via:

Fax to Office of Fiscal Services Accounting Section, Sharon Hiramoto, at (808) 586-3374, or

Courier to Office of Fiscal Services, Accounting Section, Attention: Sharon Hiramoto, or

PDF File(s) emailed via Lotus Notes to Sharon Hiramoto.

4. Allocation of Resources

A total of $2,537,365 shall be allocated in the following manner:

To Org ID	To RTTT Project	To Prog ID	"A"	"A1"	"B"	"C"	Total "T" Funds
002	C1a Longitudinal Data System	38826	$232,405	$86,083	$19,575	$2,000	$340,063
002	C2b Infrastructure (Single Sign-on)	38827			$750,000		$750,000
532	C1c Network Plan	38828			$48,750	$901,200	$949,950
736	A2b HPERC	38815	$118,514	$43,898	$330,940	$4,000	$497,352

5. Key Performance Indicators

1. 95% of the project deliverables will on time.

2. 95% of the project revisions will be documented in the project plan.

3. 95% of the project activities will be done within the provided budget, as amended and approved by SPOC.

This is the first year of funding, so there is no baseline.

Allocation #: 631

APPROVED:

Adele Chong, Acting CFO, for Kathryn S. Matayoshi, Superintendent

04/12/2011

Date

RTTT-GREAT TEACHERS AND LEADERS, 38803

Program: 38803, RTTT-GREAT TEACHERS AND LEADERS
Program Manager: Robert E Campbell

A. AUTHORIZATION

1. Legal Provision
   Act 180, SLH 2010

2. Resources Provided

   a. Funding
      F — Apprn: S219

   b. Character of Expenditure
      Permanent FTE: 0.00
      Temporary FTE: 0.00

		General	Federal	Special
A	Personal Services	$0	$0	$0
A1	Other Personal Services	$0	$0	$0
B	Other Current Expenses	$0	$9,730,877	$0
C	Equipment	$0	$0	$0
M	Motor Vehicles	$0	$0	$0
	Total	$0	$9,730,877	$0
	Total Allocation	$9,730,877		

B. ALLOCATION PROPOSAL
GENERAL FUND ALLOCATIONS ARE TENTATIVE . THE AMOUNTS ALLOCATED MAY BE REDUCED BY EXECUTIVE RESTRICTIONS AND /OR INTERNAL REDUCTIONS .
RTTT-GREAT TEACHERS AND LEADERS , 38803

1. Purpose

The purpose of this allocation is to provide funds awarded by the USDOE through the State Fiscal Stabilization Fund – State Incentive Grants, Recovery Funds, 84.395A in award number S395A100051. This is also known as the Race to the Top Grant. These funds specifically are to provide the approved fiscal support for those Criterion D activities described in the Budget Narrative approved by USDOE prior to the aforementioned award.

The approved Budget Narrative is entitled Budget Part II, 2 October 2010 and may be found on the Strategic Project Oversight Committee Share Point site under Budget/Fiscal. Only those activities identified to receive RTTT funding in the approved Criterion D Project Plans, as amended and approved by the USDOE or Project Sponsor when appropriate, may be supported with these funds.

2. Rationale for Allocation

The allocation is based on the submitted and approved budget required to implement those activities identified in the RTTT Project Plan to achieve the outcomes described in the Race to the Top Grant application narrative.

3. Guidelines for Implementation

The ARRA requires separate tracking and accounting of these funds tied to performance indicators. These funds will be allocated as a unique Program ID. These funds may not be combined with other general or federal funds. Any further distribution of these funds must be done via the allocation process.

Funds must be expended in accordance with the following:

1) SPOC approved RTTT Project Plan, including Section 10;
2) "FMS User Policy and Process Flow Guide;
3) Department personnel rules and regulations;
4) Education Department General Administrative Regulations (EDGAR) (particularly 80.36); and

5) OMB Circulars A-21, A-122, A-87 and A-133

In the event that personnel costs are contained in the approved RTTT Budget and contained in the RTTT Project Plan the following is applicable:

1. A Payroll Certification (PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. For the six months ending December 31 and June 30 of each year.

2. A Payroll Certification (PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a

general funded program). The Certification shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. Report at the end of every month the actual amount of time the employee was engaged in program activities.

3. Payroll certifications shall be:

a. Filed and maintained with all other documentation of fiscal transactions (i.e., purchase orders and inventory control) at the organization level (i.e., school, section, or office) executing the authority to expend federal funds; and

b. Transmitted to the Office of Fiscal Services Accounting section via:

Fax to Office of Fiscal Services Accounting Section, Sharon Hiramoto, at (808) 586-3374, or

Courier to Office of Fiscal Services, Accounting Section, Attention: Sharon Hiramoto, or

PDF File(s) emailed via Lotus Notes to Sharon Hiramoto.

4. Allocation of Resources

To Org ID	To RTTT Project	Prog ID	"A"	"A1"	"B"	"C"	Total "T" Funds
017	D1a Performance Based Comp Sys	38829			$750,000	$18,000	$768,000
017	D1b Evaluation Systems	38830	$597,712	$237,193	$1,299,304		$2,134,209
523	D2a Induction and Mentoring	38831			$1,500,000		$1,500,000
523	D2b Improving Ed Prep	38832			$50,000		$50,000
523	D2c Knowledge Transfer/PD System	38833			$500,000		$500,000
522	D3a Equity Plan/Recruitment/ Place	38834			$40,000	$2,950,000	$2,990,000
024	B1d Functional Data/Instructional Teams	38820	$1,305,216	$483,452			$1,788,668

5. Key Performance Indicators

1. 95% of the project deliverables will on time.

2. 95% of the project revisions will be documented in the project plan.

3. 95% of the project activities will be done within the provided budget, as amended and approved by SPOC.

This is the first year of funding, so there is no baseline.

Report Required: No **Report Due Date**:

Allocation #: 633

APPROVED:

Adele Chong, Acting CFO, for Kathryn S. Matayoshi, Superintendent

04/12/2011

Date

RTTT-ZONES OF INNOVATION, 38804

Program: 38804, RTTT-ZONES OF INNOVATION
Program Manager: Robert E Campbell

A. AUTHORIZATION

1. Legal Provision
   Act 180, SLH 2010

2. Resources Provided

   a. Funding
      F

      Apprn: S219

   b. Character of Expenditure
      Permanent FTE: 0.00
      Temporary FTE: 0.00

		General	Federal	Special
A	Personal Services	$0	$0	$0
A1	Other Personal Services	$0	$0	$0
B	Other Current Expenses	$0	$2,143,434	$0
C	Equipment	$0	$0	$0
M	Motor Vehicles	$0	$0	$0
	Total	$0	$2,143,434	$0
	Total Allocation	$2,143,434		

B. ALLOCATION PROPOSAL

GENERAL FUND ALLOCATIONS ARE TENTATIVE. THE AMOUNTS ALLOCATED MAY BE REDUCED BY EXECUTIVE RESTRICTIONS AND /OR INTERNAL REDUCTIONS.

RTTT-ZONES OF INNOVATION, 38804

1. Purpose

The purpose of this allocation is to provide funds awarded by the USDOE through the State Fiscal Stabilization Fund – State Incentive Grants, Recovery Funds, 84.395A in award number S395A100051. This is also known as the Race to the Top Grant. These funds specifically are to provide the approved fiscal support for those Criterion E activities described in the Budget Narrative approved by USDOE prior to the aforementioned award.

The approved Budget Narrative is entitled Budget Part II, 2 October 2010 and may be found on the Strategic Project Oversight Committee Share Point site under Budget/Fiscal. Only those activities identified to receive RTTT funding in the approved Criterion E Project Plans, as amended and approved by the USDOE or Project Sponsor when appropriate, may be supported with these funds.

2. Rationale for Allocation

The allocation is based on the submitted and approved budget required to implement those activities identified in the RTTT Project Plan to achieve the outcomes described in the Race to the Top Grant application narrative.

3. Guidelines for Implementation

The ARRA requires separate tracking and accounting of these funds tied to performance indicators. These funds will be allocated as a unique Program ID. These funds may not be combined with other general or federal funds. Any further distribution of these funds must be done via the allocation process.

Funds must be expended in accordance with the following:

1) SPOC approved RTTT Project Plan, including Section 10;
2) "FMS User Policy and Process Flow Guide;
3) Department personnel rules and regulations;
4) Education Department General Administrative Regulations (EDGAR) (particularly 80.36); and

5) OMB Circulars A-21, A-122, A-87 and A-133.

In the event that personnel costs are contained in the approved RTTT Budget and contained in the RTTT Project Plan the following is applicable:

1. A Payroll Certification (PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:

   a. Signed and dated within 30 days after the end of the reporting period, and

   b. For the six months ending December 31 and June 30 of each year.

2. A Payroll Certification (PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a

general funded program). The Certification shall be:

a. Signed and dated within 30 days after the end of the reporting period, and

b. Report at the end of every month the actual amount of time the employee was engaged in program activities.

3. Payroll certifications shall be:

a. Filed and maintained with all other documentation of fiscal transactions (i.e., purchase orders and inventory control) at the organization level (i.e., school, section, or office) executing the authority to expend federal funds; and

b. Transmitted to the Office of Fiscal Services Accounting section via:

Fax to Office of Fiscal Services Accounting Section, Sharon Hiramoto, at (808) 586-3374, or

Courier to Office of Fiscal Services, Accounting Section, Attention: Sharon Hiramoto, or

PDF File(s) emailed via Lotus Notes to Sharon Hiramoto.

4. Allocation of Resources

A total of $2,143,434 shall be allocated in the following manner:

To Org ID	To RTTT Project	To Prog ID	"B"	"C"	Total "T" Funds
007	E1a HIDOE Assistance and Oversight	38837	$1,887,500	$255,934	$2,143,434

5. Key Performance Indicators

1. 95% of the project deliverables will on time.
2. 95% of the project revisions will be documented in the project plan.
3. 95% of the project activities will be done within the provided budget, as amended and approved by SPOC.

This is the first year of funding, so there is no baseline.

Report Required: No **Report Due Date:**

Name of Organization

<Name of Project> **- Project Agreement**

10.0 Project Budget Summary

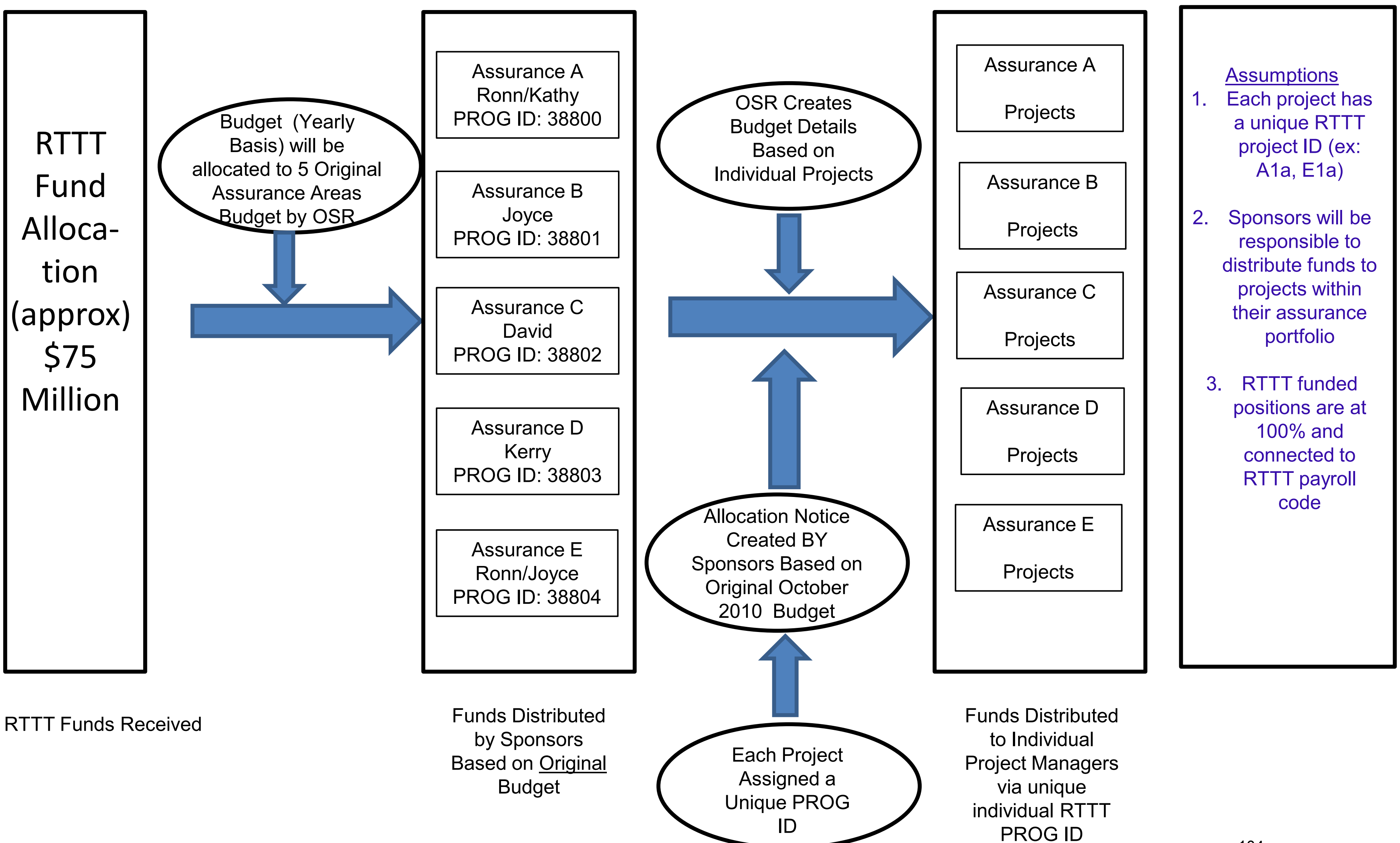
(The budget and costs reflected in the Project Plan should account for all resource labor, hardware, software, facilities, etc. required to achieve the stated scope and objectives. If the organization has a standard budget template, that can be used instead.)

	Budget Categories	2010-2011 Fiscal Year	2011-2012 Fiscal Year	2012-2013 Fiscal Year	2013-2014 Fiscal Year	Total
a	Internal Resource Labor: *(estimate the number of hours that will be required to complete the project for the following types of personnel.)*					
	Executive Leadership					
	District Area Management					
	School Administration					
	Classroom Personnel					
b	External (Contract) Resource Costs: *List provider(s) / amount(s) Ex: Transcend / $35,000					
c	Materials and Supplies: *(please list)*					
d	Project Expenses: *(i.e., travel, registration fees, etc.)*					
e	Training: *(please list)*					
f	Other: *(please list)*					
TOTAL *(sum rows b-f)*						

Approved by: ______________________________ *Date:* ____________________

RTTT Fund Distribution

A8 - RTTT Fund Distribution Flow



Form BD-2 (revised 4/06)

BUDGET DETAILS EXPENDITURE PLAN

Name of School: Office of Strategic Reform		Fiscal Year:	2011
Prepared by: Edward Wada	Allocation Number:		
Approved by:			
Name of Program: RTTT Reorganization Project A2a	Amount:	798,730	
	PROG ID:	38814	

Expenditure Plan by Object:

Character 10 **Personal Services "A"**

Object #	Description	Amount
2614	SSEASR	115,000
2034	Private Secretary	39,456
2620	Inst. Anlyst III (x 4 people)	364,940

Total for Character 10: 519,396

Character 11 **Other Personal Services "A1"**

Object #	Description	Amount
2702	Fringe	192,384

Total for Character 11: 192,384

Character 20 **Supplies "B"**

Object #	Description	Amount
4201	Instra State Air	25,200
4601	Passenger Rental Car (Instate)	12,000
4401	Out of State Air	14,650
4501	Subsistence (hotel etc)	9,000
4601	Passenger Rental Car (Out of State)	5,000
4801	Parking	500
7203	Conference Fee	5,000
3010	Supplies: Computer	1,000
3201	Supplies: Office	2,600

Character 20 **Equipment "C"**

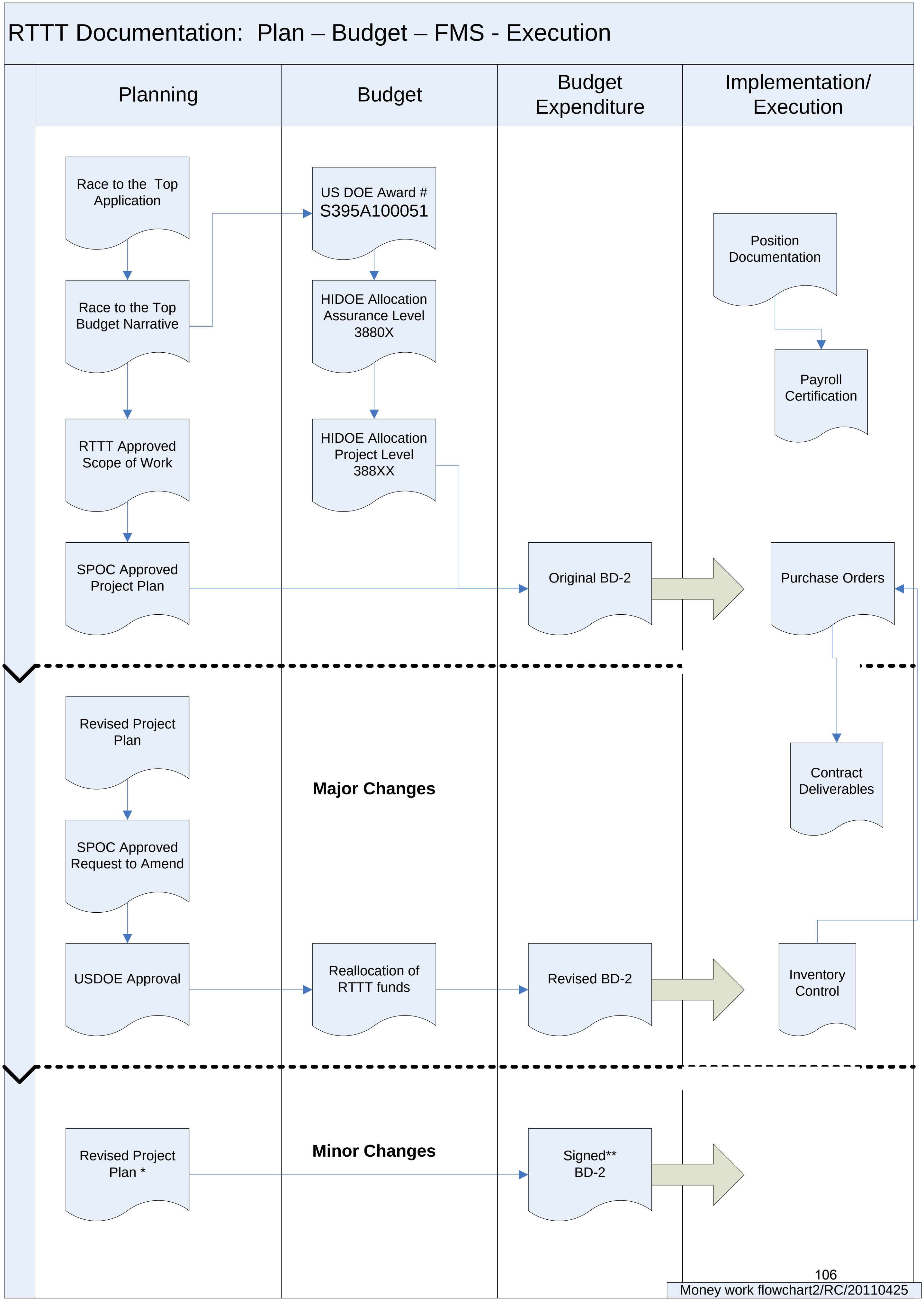
Object #	Description	Amount
7708	Computer equipment	12,000

Total for Character 20: 86,950

Total for Expenditure Plan: 798,730

Instructions:

1. Complete all sections and return to Principal
2. Please allow time for inputting and transfer of funds from Budget System to FMS.
3. "Change Report" document will be confirming document that funds were inputted.



RTTT Documentation: Plan – Budget – FMS - Execution
Planning
Budget
Budget Expenditure
Implementation/ Execution
Race to the Top Application
Race to the Top Budget Narrative
RTTT Approved Scope of Work
SPOC Approved Project Plan
US DOE Award # S395A100051
HIDOE Allocation Assurance Level 3880X
HIDOE Allocation Project Level 388XX
Original BD-2
Position Documentation
Payroll Certification
Purchase Orders
Contract Deliverables
Revised Project Plan
SPOC Approved Request to Amend
USDOE Approval
Major Changes
Reallocation of RTTT funds
Revised BD-2
Inventory Control
Revised Project Plan *
Minor Changes
Signed** BD-2

	State of Hawaii Department of Education Standard Practice (SP) Document	Superintendent's Administrative Manual

Document Number SP 0404	Release Date: 7/17/09	Distribution: Assistant Superintendents, Complex Area Superintendents, and 12 month Educational Officers
SUBJECT:	Payroll Documentation Requirements for Federally Funded Programs	

1. **Purpose**
   To ensure DOE procedures related to payroll expenditures charged to federally funded programs adhere to the principles and standards for allowable costs.

2. **Effective**
   Immediately

3. **Applies to**
   All program managers of federally funded programs with funds that may be expended for employees and budget specialists in Budget Execution.

4. **Payroll documentation requirements for federally funded program**
   A. **Background**
   Office of Management and Budget (OMB) Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments*, provides principles and standards for allowable costs. Included are standards for payroll documentation to support employee compensation costs. Paragraph 8(h) (3) specifically requires charges for employees working solely on a single federal award be covered by a certification.

   B. **Practice**
   1) All federal program managers shall include the guidance statement (see Item B.2 below) under Guidelines for Implementation when preparing the DOE Allocation Notice for federal funds.

   2) Program managers shall include the following information:
      a. A Payroll Certification (Form PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:
         i. Signed and dated within 30 days after the end of the reporting period, and
         ii. For the six months ending December 31 and June 30 of each year.

b. A Payroll Certification (Form PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a general funded program). The Certification shall be:
   i. Signed and dated within 30 days after the end of the reporting period, and
   ii. Report at the end of every month the actual amount of time the employee was engaged in program activities.

c. **Payroll certifications shall be:**
   i. Filed and maintained with all other documentation of fiscal transactions (i.e., purchase orders and inventory control) at the organization level (i.e., school, section, or office) executing the authority to expend the federal funds, and
   ii. **Transmitted to the** Federal Compliance Section via:
      - **Fax at (808) 689-1365, or**
      - **Courier to Room C-25 at Ewa Beach Elementary School, or**
      - **PDF file(s) e-mailed to Imelda_Dela_Rama@notes.k12.hi.us.**

3) Program managers shall include as part of their regular program training, monitoring and evaluation activities:
   a. Program training assurance that those authorized to expend federal funds are informed of this requirement, and

   b. Verification of fund recipient adherence to this practice, and

4) Budget Specialists shall:
   a. Assure allocation notices for federal funds contain the guidance referenced above in 1, 2, and 3, and

   b. Return to the program manager any allocation for federal funds that does not have guidelines for payroll documentation requirements for federal funded programs.

5) Expenders of federal funds hiring or supervising staff whose positions are funded with federal funds shall:
   a. Familiarize themselves with these procedures, and

   b. Inform the affected employees of these requirements.

C. <u>**Definitions**</u>

1) A Program Manager is the initial recipient of the federal funds.
   a. In the case of discretionary grants it is the individual within the organization unit (i.e., school, section, or office) that applied for and received the grant award. Assistant Superintendents may designate an Educational Officer to be the Program Manager.

b. In the case of formula grants (i.e., special education or Title I), the program manager is the Administrator, Director, or Educational Specialist in charge of the program.

2) An Expender of Federal Funds (EFF) is the supervisor of the organizational unit (i.e., school, section, or office) with authority to expend the federal funds in that program (i.e., signs the purchase order). The organizational unit may receive those federal funds through an allocation notice or a transfer of funds (LSB).

5. **SP Maintenance Responsibility**

Federal Compliance and Project Management Office. **For questions, call (808) 586-3447**. The Frequently Asked Questions (FAQ) reference page for this SP provides standard responses to common questions.

6. **References, Resources, and Forms**

The following resources may provide access to statutory, policy, and contractual authorities; and closely related SPs, procedures, and forms.

(a) Frequently Asked Questions (FAQ) for SP0404
(b) Process Map Flowchart
(c) Office of Management and Budget WSF
(d) Office of Management and Budget WSF
(e) August 3, 2009 Memo Revised Standard of Practice on Payroll Certification of Employees Paid with Federal Funds Effective for BFY2010

Forms

Payroll Certifications
Frequently Asked Questions (FAQ)

1. Is a payroll certification required for both salary and casual employees?

   Yes. The OMB Circular A-87 does not differentiate based on the Department's classification of the employee type or mechanism for pay.

2. Are substitute teachers paid with federal funds required to complete the payroll certification forms?

   No. The key issue is accountability for the proper use of federal funds. The TSEAS system allows the Department to show that a specific substitute teacher on a specific day was used to replace a specific teacher who was out of the class for a specific reason. Thus, the Department has the means already to show that federal project funds were appropriately used to pay a substitute teacher.

3. When should the payroll certification for a teacher paid over 12 months for 10 months of work be done?

   The payroll certification is used to certify that the work done by an employee during the preceding six (6) month period was done on the federal project activities for which the employee is paid. It does not matter when the actual pay is received by the employee.

4. Does a contractor need to complete a payroll certification?

   No. The activity for which the federal funds are being spent is adequately covered in the contract.

5. Does an employee being paid via a 15z contract need to complete a payroll certification for the work done on the contract?

   Yes. Even though the employee is being paid through a contract, an employer—employee relationship exists. The employee's time on the contract is documented using timesheets. NOTE: This change from previous guidance is based on a Statewide Single Audit finding.

6. If an employee works during the school day and then works in an after school program, is that a multiple program employee?

   No. An employee that works in a single program during the school day (it doesn't matter if it is salary or casual, full or part-time) and then works in a single after-school program is considered to be a solely funded employee for each of those programs. This is because the programs are assumed to be mutually exclusive (i.e., the employee can not do the school day work after school or vise versa).

However if during either the school day or after school programs the employee is funded from more than one program, then a multiple program payroll certification would be necessary for those programs done either the school day or after the school day.

7. Does the requirement apply to Memorandums of Agreements (MOA) with other agencies that are providing the Department with federal funds to perform work for them (the other agencies)?

   The requirement for payroll certifications is dependent upon the appropriating authority for the federal project. Most funds from the US Department of Education require payroll certifications. Other federal agencies may have different requirements or require payroll certifications be completed in other ways. If you receive funds and expend federal funds under a MOA you should contact the program manager in the other state department for clarification.

8. Where can I find more information on this requirement?

   Department Standard of Practice 0404

   http://www.whitehouse.gov/omb/circulars/a087/a87_2004.pdf

   http://www.whitehouse.gov/omb/circulars_a133_compliance_09toc/

9. The Department splits some federal funds from a single source into several Department programs. Do the Department programs count as multiple programs for payroll certification purposes?

   No. Even though the Department splits one federal program, or grant award, it is still a single federal program.

10. How do I complete the forms?

    a. A specific program ID and program name must be written on the payroll certification form (e.g., 18902, NCLB Title I LEA Grant-School Improvement).

    b. A Payroll Certification (Form PC1 – Revised July 2009) shall be completed and signed by the employee or supervisor twice a year for employees working solely on a single federal funded program. Certifications shall be:

i. Signed and dated within 30 days after the end of the reporting period, and
ii. For the six months ending December 31 and June 30 of each year.

c. A Payroll Certification (Form PC2 – Revised July 2009) shall be completed and signed by the employee and the supervisor on a monthly basis for employees working on multiple programs with separate funding sources (i.e., two different federal programs or a federal program and a general funded program). The Certification shall be:

i. Signed and dated within 30 days after the end of the reporting period, and
ii. Report at the end of every month the actual amount of time the employee was engaged in program activities.

STATE OF HAWAII
DEPARTMENT OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAI'I 96804

Payroll Certification

For use when working solely on a single program

I, ____, certify that one-hundred percent
(Print name of employee)

of my time and effort was spent as a ________________________ paid with funds
(Identify specific position held)

from Program (ID # and Name)____

in ________________________ for the Department of Education, State of Hawaii,
(Name of school/office)

from ________________________________ through ______________________________.

Employee Signature: ____________________________________ Date*: ___________

** Note: Only one signature is required. ********************************

I, ____, certify that I have supervised
(Print name of supervisor)

the above stated employee and that all the information as stated above are true.

Supervisor Signature: __________________________________ Date: ____________**

Position held: ___________________________________ Contact No.: _______________

****Payroll certification must be signed twice a year for staff who are fully funded with federal funds. Additionally, the signature date must be an "after-the-fact" date (within 30 days after December 31 and within 30 days after June 30). In other words, the duties that staff are certifying to, have already been performed.***

*****Supervisors of Title I fully-funded staff (e.g., Principals), may co-sign with the Title I staff or sign to verify the single cost position. Signature dates must also be an "after-the-fact" date (within 30 days after December 31 and within 30 days after June 30).***

STATE OF HAWAII
DEPARTMENT OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAI'I 96804

Payroll Certification

For use when working in multiple programs

I, ____, certify that I have worked on the
(Print name of employee)

following programs during the month of __________________ in the year _____________:

The percent of effort worked in direct support of individual programs are indicated below:

Program	Program ID	Position Held	Percent of Effort (FTE)
		Total Effort	1.0

I certify that this report is an <u>after-the-fact</u> determination of actual effort expended for the period indicated and I have a **schedule/time sheet** and student list (student list, if applicable) to support each activity.

Employee Signature: ____________________________________ **Date*:** ___________

****

I, ____, certify that I have supervised
(Print name of supervisor)

the above stated employee and that all the information as stated above are true.

Supervisor Signature: _________________________________ **Date:** ___________

Position held: __________________________________ **Contact No.:** ____________

****Payroll certification must be signed monthly. Additionally, the signature date <u>must be</u> an "after-the-fact" date (within 30 days after each month). In other words, the duties that staff are certifying to, have already been performed. Both the supervisor and employee must sign the multi-cost payroll certification form.***

NEIL ABERCROMBIE
GOVERNOR

KATHRYN S. MATAYOSHI
SUPERINTENDENT

STATE OF HAWAI'I
DEPARTMENT OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAI'I 96804

OFFICE OF FISCAL SERVICES

Drawdown Procedure for Federal Grants:
Race To The Top (RTTT)

The State of Hawaii Department of Education (DOE) will utilize the Federal G5 Drawdown System to draw funds for the Race To The Top (RTTT) grant.

The frequency of the Letter of Credit (LOC) drawdown for the G5 system is done at a minimum of two cash withdrawals weekly to meet the federal grant requirement that cash balance on hand not exceed the balances needed for three (3) business days. If the LOC scheduled draw down does not meet the federal grant program requirements, additional LOC draw downs may be made as needed.

The following cash withdrawal procedures are in effect:

G5 System
1. Scheduled Cash Withdrawal

An LOC cash withdrawal is prepared twice a week, and cash request is processed one day prior to the date of deposit.

Additional cash withdrawals may be done if necessary to meet unanticipated payment demands.

2. Calculating Cash Requirements

To obtain the latest federal grants account status, a FMS query that accesses the FMS grant file is downloaded. This data is then loaded into worksheets for the accountants.

For each payroll period processed by the State of Hawaii Department of Accounting and General Services (DAGS), DOE Accounting gets a download of the payroll information for the DOE. This information is also added onto the worksheets for each accountant as preliminary data with the actual payroll information put in as soon as it is available.

With both the non-payroll and payroll information for each grant, the accountants no longer have to estimate how much cash a grant needs.

3. Review and Analysis of Cash Status

The Office of Fiscal Services Accounting Section staff are responsible to review the numbers for reasonableness given the data and history of the grant.

Drawdown Procedure for Federal Grants:
Race To The Top (RTTT)
Page 2

If there are any adjustments on the cash drawdown worksheet they should be well documented and these adjustments should be cleared out as soon as possible.

The use of estimates in the cash drawdown process is discouraged. However, if estimates are needed they should be well documented, and the disbursements of the associated funds should be done within a reasonable time of their receipt.

4. Superintendent Approval

The Federal Form 270, "Request for Advance or Reimbursement," along with a Race To The Top Accounting Summary Report, will be submitted to the Superintendent for approval, before funds are drawn down. All requests for RTTT will be made on a reimbursement basis, after cash outlays have been made. The Superintendent, upon review, if the draw is approved, will sign the Form 270 in the "Certification" section.

Upon Superintendent approval, the Office of Fiscal Services Accounting Section will input the drawdown in the G5 System.

U.S. Department of Education - EDCAPS G5
G5 - External Award Activity History Report
As of Mon Apr 25 21:47:04 EDT 2011

B7 - G5 Drawdown Summary

Parameters Entered: PR/Award No: S395A100051 Start Date: 07/2010 End Date: 04/2011

*** Total increase & decrease in Authorization ** Total increase & decrease in Adjustments *** Total Expenditure (Draws + Refund + Return + Adjustment)**

Award Number	Recipient Reference No	Net Authorizations*	Total Draws	Total Refunds	Total Returns	Net Adjustments**	Net Draws***	Last Date To Draw Funds	Current Available Balance
S395A100051	650919-11	$74,934,761.00	$0.00	$0.00	$0.00	$0.00	$0.00	2014-12-23	$74,934,761.00

REQUEST FOR ADVANCE OR REIMBURSEMENT

(See instructions on back)

OMB APPROVAL NO.	00348-0004
PAGE 1 OF 2 PAGES	
1. TYPE OF PAYMENT REQUESTED	a. "X" one or both boxes: ☐ ADVANCE ☑ REIMBURSE-MENT b. "X" the applicable box: ☐ FINAL ☑ PARTIAL
2. BASIS OF REQUEST	☑ CASH ☐ ACCRUAL
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED	U.S. Department of Education
4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY	S395A100051
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST	11-01
6. EMPLOYER IDENTIFICATION NUMBER	
7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER	
8. PERIOD COVERED BY THIS REQUEST	FROM (month, day, year) 01/01/2011 — TO (month, day, year) 03/31/2011
9. RECIPIENT ORGANIZATION	Name: State of Hawaii, Dept of Education Number and Street: 1390 Miller Street City, State and ZIP Code: Honolulu, HI 96813
10. PAYEE (Where check is to be sent if different than item 9)	Name: Number and Street: City, State and ZIP Code:

11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED

PROGRAMS/FUNCTIONS/ACTIVITIES ▶	(a) All	(b)	(c)	TOTAL
a. Total program outlays to date (As of date)	$ 205,616	$	$	$
b. Less: Cumulative program income	0			
c. Net program outlays (Line a minus line b)	205,616			
d. Estimated net cash outlays for advance period	0			
e. Total (Sum of lines c & d)	205,616			
f. Non-Federal share of amount on line e	0			
g. Federal share of amount on line e	205,616			
h. Federal payments previously requested	0			
i. Federal share now requested (Line g minus line h)	205,616			
j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances — 1st month				
2nd month				
3rd month				

12. ALTERNATE COMPUTATION FOR ADVANCES ONLY

a. Estimated Federal cash outlays that will be made during period covered by the advance	$
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period	
c. Amount requested (Line a minus line b)	$

AUTHORIZED FOR LOCAL REPRODUCTION

(Continued on Reverse)

STANDARD FORM 270# (Rev. 7-97)
Prescribed by OMB Circulars A-102 and A-110

13.	CERTIFICATION	
I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OR AUTHORIZED CERTIFYING OFFICIAL	DATE REQUEST SUBMITTED
	TYPED OR PRINTED NAME AND TITLE Kathryn S. Matayoshi, Superintendent	TELEPHONE (AREA CODE, NUMBER, EXTENSION) (808) 586-3313

This space for agency use

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

INSTRUCTIONS

Please type or print legibly. Items 1, 3, 5, 9, 10, 11e, 11f, 11g, 11i, 12 and 13 are self-explanatory; specific instructions for other items are as follows:

Item	*Entry*
2	Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis.
4	Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A; then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement.
6	Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency.
7	This space is reserved for an account number or other identifying number that may be assigned by the recipient.
8	Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested.
Note:	The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in item 11 can be obtained in a timely manner from other reports.
11	The purpose of the vertical columns (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.
11a	Enter in "as of date," the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owned by the recipient for goods and other property received and for services performed by employees, contracts, subgrantees and other payees.
11b	Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.
11d	Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.
13	Complete the certification before submitting this request.

STANDARD FORM 270# (Rev. 7-97) Back

RACE TO THE TOP
ACCOUNTING SUMMARY REPORT

Report Period: Inception - March 31, 2011

Date Prepared:	April 25, 2011
Prepared By:	Romeo Valdez, Accountant IV
Reviewed By:	Trisha Kaneshiro, Fiscal Specialist III

GRANT AWARD	AMOUNT
Grant Award	74,934,761
Unallotted	57,549,960
Allotments	17,384,801

EXPENDITURES	AMOUNT	CHAR 10	CHAR 20	TOTAL
Inception - 2.28.2011	64,195	64,195	-	64,195
2.28.2011 - 3.31.2011	141,421	141,421		141,421
	205,616	205,616	-	205,616

GRANT AVAILABLE	AMOUNT
Grant Award	74,934,761
Less: Expenditures	205,616
Equals: Grant Available	74,729,145

CASH DRAWDOWNS - CURRENT REQUEST	AMOUNT
Expenditures -- Inception - 2.28.2011	64,195
Expenditures -- 2.28.2011 - 3.31.2011	141,421
	205,616

CASH DRAWDOWNS - HISTORICAL SUMMARY	AMOUNT
	-
	-
	-

RTTT CHART OF ACCOUNTS: PROGRAM ID CODE STRUCTURE (Segregated from all other funds)

EDN	FD	APPRN		PAYROLL		PROG ID	BFY	GRANT/FY	DESCRIPTION	OBLIGATION	
		DOE	DAGS	SUNDRY	PROJ					LAPSE DATE	LAST DRAW
200	S	219	219			38810	2011	650919/11	RTTT-ACCOUNTABILITY FRAMEWORK:A1A	20140923	20141223
200	S	219	219			38811	2011	650919/11	RTTT-ALIGNED PLANNING:A1B	20140923	20141223
200	S	219	219			38812	2011	650919/11	RTTT-FEDERAL PROGRAMS ALIGNMENT:A1C	20140923	20141223
200	S	219	219			38813	2011	650919/11	RTTT-PUBLIC ACCOUNTABILITY:A1D	20140923	20141223
200	S	219	219	16614	X14	38814	2011	650919/11	RTTT-REORGANIZATION OF OFFICES:A2A	20140923	20141223
200	S	219	219	16615	X15	38815	2011	650919/11	RTTT-HI PARTNERSHIP FOR ED RESEARCH:A2B	20140923	20141223
200	S	219	219			38816	2011	650919/11	RTTT-COMMUNITY ENGAGEMENT:A3A	20140923	20141223
200	S	219	219	16617	X17	38817	2011	650919/11	RTTT-COMMON CORE STATE STAND IMP:B1A	20140923	20141223
200	S	219	219			38818	2011	650919/11	RTTT-COLLEGE & CAREER READY:B1B	20140923	20141223
200	S	219	219			38819	2011	650919/11	RTTT-ASSESSMENT LITERACY:B1C	20140923	20141223
200	S	219	219	16620	X20	38820	2011	650919/11	RTTT-FUNC DATA ANALYSIS & INST TEAMS:B1D	20140923	20141223
200	S	219	219			38821	2011	650919/11	RTTT-STEM LEARN STRATEGY & NETWORK:B1E	20140923	20141223
200	S	219	219			38822	2011	650919/11	RTTT-INTERIM & SUMM ASSESSMENTS:B2A	20140923	20141223
200	S	219	219			38823	2011	650919/11	RTTT-END OF COURSE ASSESSMENTS:B2B	20140923	20141223
200	S	219	219			38824	2011	650919/11	RTTT-CONT OF PROACTIVE STUDENT SUPP:B3A	20140923	20141223
200	S	219	219			38825	2011	650919/11	RTTT-SCHOOL IMPROVEMENT GRANT:B4A	20140923	20141223
200	S	219	219	16626	X26	38826	2011	650919/11	RTTT-LONGITUDINAL DATA SYSTEM:C1A	20140923	20141223
200	S	219	219			38827	2011	650919/11	RTTT-INFRASTRUCTURE (SINGLE SIGN ON):C1B	20140923	20141223
200	S	219	219			38828	2011	650919/11	RTTT-NETWORK WORK PLAN:CIC	20140923	20141223
200	S	219	219			38829	2011	650919/11	RTTT-PERFORMANCE BASED COMP SYSTEM:D1A	20140923	20141223
200	S	219	219			38830	2011	650919/11	RTTT-EVALUATION SYSTEMS:D1B	20140923	20141223
200	S	219	219			38831	2011	650919/11	RTTT-INDUCTION & MENTORING:D2A	20140923	20141223
200	S	219	219			38832	2011	650919/11	RTTT-IMPROV EFF OF EDUC PREP PROG:D2B	20140923	20141223
200	S	219	219			38833	2011	650919/11	RTTT-KNOW TRANS SYS/PROF DEV FRAME:D2C	20140923	20141223
200	S	219	219			38834	2011	650919/11	RTTT-EQUITY PLAN/RECRUIT & PLACE:D3A	20140923	20141223
200	S	219	219			38835	2011	650919/11	RTTT-ALTER ROUTE TO CERT FOR TCHRS:D3B	20140923	20141223
200	S	219	219			38836	2011	650919/11	RTTT-ALTER CERT FOR PRINCIPALS & VP:D3C	20140923	20141223
200	S	219	219	16637	X37	38837	2011	650919/11	RTTT-HIDOE ASSISTANCE & OVERSIGHT:E1A	20140923	20141223
200	S	219	219			38838	2011	650919/11	RTTT-KAU KEAAU PAHOA ZSI:E1B	20140923	20141223
200	S	219	219			38839	2011	650919/11	RTTT-NANAKULI WAIANAE ZSI:E1C	20140923	20141223

1.0 Grant Status by Grant Number

As of April 25, 2011

SAMPLE REPORT

Grant: 650919 - ARRA SFSF INCENTIVE - RACE TO THE TOP

TABLE 1 - GRANT SUMMARY (INCEPTION TO DATE)

GRANT NO. - GRANT YR.	AWARD DATE	LAPSE DATE	LIQUIDATION DATE	GRANT AWARD	EXPENDITURES	UNEXPENDED BALANCE	CONTRACT ENCUMBRANCE	CLAIMS ENCUMBRANCE	AVAILABLE BALANCE
650919-11	9/24/2010	9/23/2014	12/23/2014	17,384,801.00	205,615.85	17,179,185.15	-	-	17,179,185.15
			TOTAL	**17,384,801.00**	**205,615.85**	**17,179,185.15**	**-**	**-**	**17,179,185.15**

TABLE 2 - CURRENT ENCUMBRANCE

GRANT NO. - GRANT YR.	PROGRAM ID	COMPLEX AREA	ORGANIZATION	CONTRACT ENCUMBRANCE	CLAIMS ENCUMBRANCE	TOTAL ENCUMBRANCE
			GRAND TOTAL			-

TABLE 3 - CURRENT STATE DOE FISCAL YEAR ACTIVITY

PROGRAM ID	COMPLEX AREA	ORGANIZATION	BUD / PLANNED CARRYOVER	FMS / BALANCE CARRYOVER	CURRENT YEAR BUDGET ACTIVITY	ALLOCATION	UNALLOTTED	EXPEND PLAN / FMS ALLOT	FMS EXPENSE & ENCUMBRANCE	FMS BALANCE	TOTAL REMAINING ($)	TOTAL REMAINING (%)
		GRAND TOTAL	**-**	**-**	**16,410,489.00**	**16,410,489.00**	**882,535.00**	**15,527,954.00**	**205,615.85**	**15,322,338.15**	**16,204,873.15**	**99%**
38800 - RTTT-ALIGNMENT AND REFORM	992	92-007-OS-OFFICE OF SUPERINTENDENT	-	-	1,681,265.00	1,681,265.00	882,535.00	798,730.00	28,076.85	770,653.15	1,653,188.15	**98%**
		SUBTOTAL	**-**	**-**	**1,681,265.00**	**1,681,265.00**	**882,535.00**	**798,730.00**	**28,076.85**	**770,653.15**	**1,653,188.15**	**98%**
38801 - RTTT-STANDARDS AND ASSESSMENT	995	95-023-OCISS-ASSISTANT SUPERINTENDENT	-	-	317,548.00	317,548.00	-	317,548.00	-	317,548.00	317,548.00	**100%**
		SUBTOTAL	**-**	**-**	**317,548.00**	**317,548.00**	**-**	**317,548.00**	**-**	**317,548.00**	**317,548.00**	**100%**
38802 - RTTT-USING DATA TO IMPROVE RESULTS	992	92-007-OS-OFFICE OF SUPERINTENDENT	-	-	497,352.00	497,352.00	-	497,352.00	4,263.00	493,089.00	493,089.00	**0%**
	996	96-002-OITS-ASSISTANT SUPERINTENDENT	-	-	2,040,013.00	2,040,013.00	-	2,040,013.00	-	2,040,013.00	2,040,013.00	**100%**
		SUBTOTAL	**-**	**-**	**2,537,365.00**	**2,537,365.00**	**-**	**2,537,365.00**	**4,263.00**	**2,533,102.00**	**2,533,102.00**	**100%**
38803 - RTTT-GREAT TEACHERS AND LEADERS	994	94-014-OHR ASSISTANT SUPERINTENDENT	-	-	9,730,877.00	9,730,877.00	-	9,730,877.00	-	9,730,877.00	9,730,877.00	**100%**
		SUBTOTAL	**-**	**-**	**9,730,877.00**	**9,730,877.00**	**-**	**9,730,877.00**	**-**	**9,730,877.00**	**9,730,877.00**	**100%**
38804 - RTTT-ZONES OF INNOVATION	933	30-933-CA-NANAKULI-WAIANAE	-	-	-	-	-	-	97,813.85	(97,813.85)	(97,813.85)	**0%**
	952	50-952-CA-KAU-KEAAU-PAHOA	-	-	-	-	-	-	75,462.15	(75,462.15)	(75,462.15)	**0%**
	992	92-007-OS-OFFICE OF SUPERINTENDENT	-	-	2,143,434.00	2,143,434.00	-	2,143,434.00	-	2,143,434.00	2,143,434.00	**100%**
		SUBTOTAL	**-**	**-**	**2,143,434.00**	**2,143,434.00**	**-**	**2,143,434.00**	**173,276.00**	**1,970,158.00**	**1,970,158.00**	**92%**
		GRAND TOTAL	**-**	**-**	**16,410,489.00**	**16,410,489.00**	**882,535.00**	**15,527,954.00**	**205,615.85**	**15,322,338.15**	**16,204,873.15**	**99%**

3.8 Detail of Operating Expenditures: Budget Versus Actual; Variances; and Balances

SAMPLE REPORT

Organization Level: All - Summary
Complex Area / Office: All : 00 - All Summary
Organization ID: 00 - 000 : All Listing
Budget Fiscal Year: 2010 - 2011
Means Of Finance (MOF): ARRA Federal Stimulus
Program ID: 38800 : RTTT-ALIGNMENT AND REFORM

Current Month			00 - 000 : All Summary	Year-to-date (YTD)			Annual Budget	
Budget	**Actuals**	**Variance**	**Expense Category Summary**	**YTD Budget**	**YTD Actuals**	**YTD Variance**	**Annual Budget**	**Available Balance [1]**
			Personnel Salaries					
3,288.00	0.00	3,288.00	2305 SECRETARY	32,880.00	3,017.96	29,862.04	39,456.00	36,438.04
9,583.33	0.00	9,583.33	2614 ADMIN ASST TO THE SUPT	95,833.33	0.00	95,833.33	115,000.00	115,000.00
30,411.67	0.00	30,411.67	2620 INSTIT ANALYST	304,116.67	17,687.86	286,428.81	364,940.00	347,252.14
43,283.00	**0.00**	**43,283.00**	**Personnel Salaries Total**	**432,830.00**	**20,705.82**	**412,124.18**	**519,396.00**	**498,690.18**
			Casual / Hourly Hires					
16,032.00	0.00	16,032.00	2702 FRINGE BENEFITS	160,320.00	7,371.03	152,948.97	192,384.00	185,012.97
16,032.00	**0.00**	**16,032.00**	**Casual / Hourly Hires Total**	**160,320.00**	**7,371.03**	**152,948.97**	**192,384.00**	**185,012.97**
			Supplies					
83.33	0.00	83.33	3010 COMPUTER SUPPLIES	833.33	0.00	833.33	1,000.00	1,000.00
216.67	0.00	216.67	3201 OFFICE SUPPLIES	2,166.67	0.00	2,166.67	2,600.00	2,600.00
300.00	**0.00**	**300.00**	**Supplies Total**	**3,000.00**	**0.00**	**3,000.00**	**3,600.00**	**3,600.00**
			Registration, Transportation and Lodging					
2,100.00	0.00	2,100.00	4201 TRANSPORTATION INTRA-STATE	21,000.00	0.00	21,000.00	25,200.00	25,200.00
1,220.83	0.00	1,220.83	4401 TRANSPORTATION OUT-OF-STATE (BASE)	12,208.33	0.00	12,208.33	14,650.00	14,650.00
750.00	0.00	750.00	4501 SUBSIST OUT-OF-STATE(BASE)	7,500.00	0.00	7,500.00	9,000.00	9,000.00
1,416.67	0.00	1,416.67	4601 HIRE OF PASSENGER CARS	14,166.67	0.00	14,166.67	17,000.00	17,000.00
41.67	0.00	41.67	4803 PARKING CHARGES	416.67	0.00	416.67	500.00	500.00
416.67	0.00	416.67	7203 REGISTRATION FEE	4,166.67	0.00	4,166.67	5,000.00	5,000.00
5,945.83	**0.00**	**5,945.83**	**Registration, Transportation and Lodging Total**	**59,458.33**	**0.00**	**59,458.33**	**71,350.00**	**71,350.00**
			Capital Outlay, Books and Equipment					
1,000.00	0.00	1,000.00	7708 COMPUTER EQUIPMENT	10,000.00	0.00	10,000.00	12,000.00	12,000.00
1,000.00	**0.00**	**1,000.00**	**Capital Outlay, Books and Equipment Total**	**10,000.00**	**0.00**	**10,000.00**	**12,000.00**	**12,000.00**
			Other / Unallotted					
73,544.58	0.00	73,544.58	0001 UNALLOCATED	735,445.83	0.00	735,445.83	882,535.00	882,535.00
73,544.58	**0.00**	**73,544.58**	**Other / Unallotted Total**	**735,445.83**	**0.00**	**735,445.83**	**882,535.00**	**882,535.00**
140,105.42	**0.00**	**140,105.42**	**Grand Total**	**1,401,054.17**	**28,076.85**	**1,372,977.32**	**1,681,265.00**	**1,653,188.15**

RTTT Monitoring Tool – Governor’s Office

Background

Governor Neil Abercrombie has education as his highest priority, and Race to the Top is a key initiative of his New Day plan. The Governor is the grantee for the state’s Race to the Top grant award. The Governor has delegated the lead for implementing the ambitious reform plan contained in the state’s Race and Phase 2 plans.

The monitoring plan sets forth procedures and routines for establishing communication and oversight of the Race to the Top plan.

	HIDOE	**Governor’s Office**
1512 Quarterly Reports	• 10 calendar days prior to 1512 deadline: Provide complete draft of 1512 report • 2 working days prior to regularly scheduled call: Submit 1512 report to U.S. ED • In procedures manual, document how HIDOE calculates vendor payments ($25,000 and over payments recorded separately; under $25,000, total amount and # of vendors) and how FTEs are calculated. If methods change, then HIDOE should update procedures manual and note the change in the quarterly report	• 2 working days after receipt of draft from HIDOE: During “Prime Recipient Review Period” review 1512 report and make changes as necessary.
Monthly RTTT Calls with US ED	• Annually (each FY): Create schedule to report to US ED on different assurances for highlight during monthly reporting. • 5 business days prior to scheduled	• Annually (each FY): Affirm schedule to report to US ED on different assurances for highlight during monthly reporting. • 3 business days prior to scheduled

	monthly call: Provide draft of monthly report (based on input from project managers and portfolio managers, reviewed by Superintendent) • By 24 hours prior to regularly scheduled call: Submit monthly report to U.S. ED • COB day of the monthly call: Draft of monthly call notes added to monthly report. • Monday following monthly call: Written and oral report to SPOC.	monthly call: Review and comment on draft of monthly reports. • By midnight of day following receipt of post-call draft: Review and comment on draft of feedback version of monthly reports
Monthly In-State Review of Progress and Financials	Standing date TBD: Monthly review of progress (red/yellow/green project monitoring), Balanced Scorecard and RTTT financials (budget vs. actuals).	
Ongoing Communication with U.S. ED	• Copy or summarize communication with the U.S. Department of Education and share information within 2 business days. • As Superintendent's designee and designated RTTT Program Director, Executive Assistant for School Reform will be main point of contact with U.S. ED to provide critical information about education in Hawaii, particularly as it relates to key deliverables in Scope of the Work.	• Copy or summarize communication with the U.S. Department of Education and share information within 2 business days.
In-State Communication	• Copy the Governor's designee on weekly team reports to the Superintendent. • Include the Governor's designee in all Race to the Top-related meetings	

	• Make available all Race to the Top materials and communications including access to the Sharepoint document sharing/project management site.	
Changes to RTTT Scope in Work	• Monthly in-state review of progress and financials: Present anticipated and proposed revisions to scope of work and budgets as part of project progress monitoring. Changes should be presented at least two meetings prior to submission to U.S. ED. • Following Governor's review of anticipated revisions: Preview anticipated revisions to U.S. ED project officer. Present proposed revisions to scope of work for SPOC review and approval.	• Following monthly in-state review of progress and financials presentation of anticipated revisions to scope of work and budgets: Review and comment on anticipated revisions to determine strategic nature of anticipated change and suggest interventions.
U.S. ED On-Site Program Review	• As Superintendent's designee and designated RTTT Program Director, Executive Assistant for School Reform will be main point of contact with U.S. ED to coordinate the on-site review on behalf of the state including scheduling, preparation of documents, and logistics.	

HAWAII ARRA ACCOUNTABILITY SYSTEM

OUTLINE

I. Introduction

II. Roles and Responsibilities

A. Governor's Office
B. Office of Economic Recovery and Reinvestment
C. Department Heads and Heads of State Entities
D. Department of Accounting and General Services
E. Department of Budget and Finance
F. Department of the Attorney General
G. Department of Labor and Industrial Relations

III. Summary

IV. Reference (web links)

OMB Circular A-133
Compliance Supplement (March 2009)
http://www.whitehouse.gov/omb/circulars_a133_compliance_09toc/

OMB Circular A-133
Compliance Supplement Addendum #1 (June 30, 2009; 301 pages):
http://www.whitehouse.gov/omb/assets/a133_compliance/arra_addendum_1.pdf

I. INTRODUCTION

The purpose of this document is to describe the (1) additional internal controls and oversight measures taken by the State of Hawaii to manage federal funds received through the American Recovery and Reinvestment Act (ARRA) and (2) the duties and responsibilities of the state entities and central service agencies under the Hawaii ARRA Accountability System (HARRAAS).

The State of Hawaii's approach to managing federal funds is de-centralized. Head of departments and state entities and program staff make key decisions on whether to apply for federal funds or not, how to use these funds, and how to meet federal requirements that come with the acceptance of funds. Central service departments review these decisions through the budgeting and procurement process. The Governor and Legislature provide authority for departments and state entities to use federal funds, develop programs, and conduct program activities.

The State of Hawaii uses its existing control and oversight measures for federal funds to manage ARRA funds but where necessary will supplement these control and oversight measures to meet the requirements of ARRA.

The additional control and oversight measures for ARRA are collectively referred to as the Hawaii ARRA Accountability System.

The objectives of the Hawaii ARRA Accountability System are to:

1. Avoid waste, fraud and abuse;

2. Ensure that costs charged to Recovery Act programs are allowable costs, in accordance with applicable laws, regulations, agreements and contracts;

3. Ensure that funds provided under Recovery Act awards are separately accounted for, from receipt to obligation to expenditure;

4. Ensure that effective cash management is employed for Recovery funds to minimize the time elapsing between (i) the transfer of funds from the Federal Government, or from a pass-through entity, to (ii) disbursement;

5. Ensure that the use of Recovery funds meet all federal requirements as described in individual ARRA grant awards and OMB Circulars;

6. Fulfill Recovery Act reporting requirements in a timely and accurate manner.

II. ROLES & RESPONSIBILITIES

A. Governor

On March 16, 2009, Governor Lingle signed the Section 1607 Assurance Certification of the American Recovery and Reinvestment Act of 2009, and has since signed other certifications and applications, all necessary for the receipt and use of ARRA funds.

The Governor is accountable for use of ARRA funds and must meet all ARRA requirements including transparency and reporting requirements.

The Governor sets the priorities for use of ARRA funds awarded to a state entity in Hawaii.

Governor Lingle's priorities are to:

1. Save or create jobs and promote economic recovery;
2. Use ARRA funds to stabilize the State's fiscal situation;
3. Invest ARRA funds wisely;
4. Use ARRA funds to improve Hawaii's economic competitiveness;
5. Secure the maximum amount of ARRA resources available to Hawai'i;
6. Apply federal accountability and transparency requirements;
7. Fulfill federal reporting requirements.

The Governor delegated authority for oversight of ARRA funds to the Chief of Staff (COS).

The Chief of Staff (COS), in consultation with the Governor's Policy Office, develops overall state policy for ARRA funds and approves ARRA recovery plans, including spending plans, for state departments and state entities.

If a state department or entity is governed by a board or makes use of an advisory panel to review and approve the use of federal funds, the board or advisory panel shall approve ARRA recovery plans, consistent with the Governor's priorities for ARRA, and submit these plans to COS.

To develop and coordinate ARRA policy, the COS established the ARRA executive team consisting of the Director of Budget and Finance, State Comptroller, First Deputy Attorney General, Governor's Senior Policy Advisor, Director of the Department of Business, Economic Development & Tourism, and the State Lead Coordinator for the Office of Economic Recovery and Reinvestment. The ARRA executive team meets once a week.

State policies for ARRA funds are implemented by the ARRA executive team through executive memorandums, budget execution policies, in-person meetings, e-mails, and phone calls.

To facilitate reporting on ARRA funds, state departments and entities named as prime recipients by the awarding federal agency, shall not delegate direct reporting to sub-recipients.

B. Office of Economic Reinvestment and Recovery (OERR)

The Governor created the Office of Economic Reinvestment and Recovery (OERR) to coordinate ARRA activities. The OERR is headed by the State Lead ARRA Coordinator.

Responsibilities of the State Lead ARRA Coordinator include:

1. Plan and coordinate ARRA activities for the State of Hawaii.
2. Review and make recommendations on ARRA recovery and spending plans, submitted by state departments and entities to the Governor through the Director of Budget and Finance.
3. Develop and implement the Hawaii ARRA Accountability System.
4. Update the State's ARRA website to communicate the status of ARRA projects and activities to the public.
5. Coordinate quarterly 1512 reporting to federalreporting.gov for state departments and entities. Collect report drafts prior to quarterly submission to review data; ensure that reports are submitted on time by award recipients.
6. Convene a monthly ARRA coordinators meeting.
7. Communicate with ARRA coordinators on ARRA policies and procedural matters.
8. Require the use of the fund code "V" and source code "581" for all ARRA funds.
9. Acts as a liaison with federal entities (RATB, OMB, NGA) regarding ARRA policy and procedural matters. Participate in ARRA conferences, teleconference calls and webinars.
10. Produce reports that summarize ARRA awards to all states departments and entities.
11. Provide outreach to county government and the public on ARRA matters.
12. Develop procedures to meet ARRA Section 1552 whistleblower provision.

C. Department Heads and Heads of State Entities

The Chief of Staff has designated department heads and heads of state entities that receive ARRA awards as ARRA coordinators, with responsibility for developing and implementing a department-level ARRA recovery plan consistent with federal guidance and the Governor's priorities. An ARRA recovery plan is an overall, written strategy for the use of ARRA funds received by a department or state entity. ARRA recovery plans will be posted on a department or agency webpage on the official State of Hawaii ARRA website.

Other responsibilities of the ARRA coordinator include:

1. Establish a department or agency-level ARRA recovery team comprised of the ARRA coordinator, back-up ARRA coordinator, administrative services officer or chief financial officer, program managers responsible for selecting projects and activities and approving the expenditure of ARRA funds, and staff responsible for public outreach activities. The names and contact information for ARRA recovery team members will be posted on the official State of Hawaii ARRA website.
2. Convene a ARRA recovery team meeting once a month, or as needed, and provide updates to the COS and OERR on ARRA implementation.
3. Ensure that federal agency, guidance, control, and oversight requirements are followed. Design, and implement internal controls to effectively meet the requirements for ARRA funds as outlined in Office of Management and Budget's (OMB) Circular A-133 and OMB Circular A-133, Compliance Supplement Addendum #1.
4. Ensure compliance with the state procurement code.

5. Establish processes by which the public can provide input and participate in ARRA opportunities.
6. Ensure that a unique state appropriation code is obtained for each federal award ID.
7. Complete and submit the Summary of Internal Control Assessment to DAGS. Develop an internal monitoring plan if the Summary of Internal Control Assessment is rated level 2.
8. Retain files to support audit activities-quarterly 1512 reporting worksheets, 1512 employment calculation, p-card information for ARRA purchases, and 1512 expenditure calculations.
9. Maintain an ARRA grant folder (by federal award ID) for each ARRA award. ARRA grant folder should contain the award letter, approved grant application, key correspondence, and other information between the state department or entity and the federal government.
10. Track state matching funds requirement for ARRA funds.
11. Reconcile grant information such as expenditures to the State's accounting system on a quarterly basis during the 1512 reporting time period. This reconciliation will be required for each federal grant prior to data being uploaded to federal government.
12. Ensure that quarterly 1512 reports for each ARRA award are reported on time.

D. Department of Accounting and General Services (DAGS)

DAGS' responsibilities for the management of ARRA funds are to:

1. Develop and implement an internal monitoring plan for ARRA awards (when funds and resources become available).
2. Assist state departments and entities with developing and implementing internal controls and processes to manage ARRA funds and reduce overall risk level.
3. Develop a ARRA Summary of Internal Control Assessment instrument for completion by all state entities that are recipients of ARRA awards; maintain a list of department ARRA risk levels.
4. Require ARRA funds be expended according to procurement requirements.
5. Issue optional ARRA procurement procedures and provide training on these procedures.
6. Assist the OERR meet reporting, transparency, and IT requirements.
7. Require all state entities receiving ARRA funds to account separately for these funds from receipt to obligation to expenditure.
8. Require all state entities to apply for and receive a unique state appropriation symbol for each ARRA award (federal award ID); to reference federal award ID and description in application for unique appropriation symbol; and to notify the OERR by e-mail when a new state appropriation code is created for ARRA fund.
9. Require all state entities to keep an electronic copy of their quarterly submitted 1512 report, 1512 employment calculations, 1512 expenditure calculations, and ARRA P-card purchases, for auditing purposes.
10. Require all ARRA funded CIP projects be included into DAGS CIP strikeforce database and be searchable on-line by the public (when funds and resources become available).

E. Department of Budget and Finance

The Department of Budget and Finance responsibilities for the management of ARRA funds are to:

1. Review ARRA expenditure requests for consistency with Federal guidelines and Governor's priorities.
2. Ensure effective cash management of ARRA funds.
3. Assist OERR in meeting ARRA reporting requirements.

F. Department of the Attorney General

The Department of the Attorney General's responsibilities for the management of ARRA funds are to:

1. Provide training to State ARRA coordinators on how to detect fraud and abuse and report violations.
2. Investigate reports of fraud and abuse or refer such reports to proper state or federal authorities.
3. Review ARRA contracts as to grant-specific requirements.

G. Department of Labor and Industrial Relations

Department of Labor and Industrial Relation's responsibilities for the management of ARRA funds are to:

1. Assist State departments and State entities comply with prevailing wage provisions of ARRA funded construction projects.
2. Require that all ARRA funded new jobs are posted on HireNet.

III. SUMMARY

HAWAII ARRA Accountability Objectives and Oversight Entity with Primary Responsibility

	Objective	Department Coordinators	AG	DAGS	B&F	OERR	GOV
1.	Avoid waste, fraud and abuse	X	X	X	X	X	X
2.	Ensure costs charged to Recovery Act programs are allowable costs under the programs, in accordance with applicable laws, regulations, agreements and contracts	X	X				
3.	Ensure funds provided under Recovery Act awards are separately accounted for from receipt to obligation to expenditure	X		X			
4.	Ensure effective cash management is employed for funding under Recovery Act programs to minimize the time elapsing between (i) the transfer of funds from the Federal Government, or from a pass-through entity, and (ii) disbursement	X			X		
5.	Meet all federal requirements for the use of ARRA funds as described in individual ARRA grant awards and in OMB Circulars	X	X	X	X	X	X
6.	Fulfill ARRA reporting requirements in a timely and accurate manner	X				X	

NEIL ABERCROMBIE
GOVERNOR

KALBERT K. YOUNG
INTERIM DIRECTOR

DEAN K. HIRATA
DEPUTY DIRECTOR

STATE OF HAWAII
DEPARTMENT OF BUDGET AND FINANCE
P.O. BOX 150
HONOLULU, HAWAII 96810-0150

EMPLOYEES' RETIREMENT SYSTEM
HAWAII EMPLOYER-UNION
HEALTH BENEFITS TRUST FUND
OFFICE OF THE PUBLIC DEFENDER
PUBLIC UTILITIES COMMISSION

ADMINISTRATIVE AND RESEARCH OFFICE
BUDGET, PROGRAM PLANNING AND
MANAGEMENT DIVISION

FINANCIAL ADMINISTRATION DIVISION
OFFICE OF ECONOMIC RECOVERY
AND REINVESTMENT (ARRA)

December 14, 2010

To: ARRA Coordinators

Through: Kalbert Young
Interim Director of Finance

From: Mark Anderson, ARRA State Lead Coordinator

Subject: January 2011 Reporting Schedule for ARRA Awards

The January 2011 recipient reporting period for the September-December 2010 quarter has been set by the Recovery Accountability and Transparency Board (http://www.recovery.gov/FAQ/Pages/RecipientReporting.aspx). :

Jan. 1-14: Initial submission period for recipient reports.

Jan 15: Prime recipients review data submitted by sub(s). Prime & sub-recipients make corrections as necessary.

Jan 16 – 29: Federal Agency review period. (Reports are locked for agency review. If federal reviewer requests a change, they will unlock the report to allow prime/sub recipients to make corrections.)

January 30 Reports are published on recovery.gov.

The deadline for State of Hawaii entities to submit 1512 reports to federalreporting.gov is 4:00 p.m., January 12, 2011.

When preparing your 1512 report, please report data from FAMIS as of COB December 31, 2010.

In addition, a worksheet showing how the number of jobs and vendor payments were calculated for each award must be submitted to the OERR by January 12, 2011.

The OERR will verify that:

- Each ARRA award by federal award ID has a unique state appropriation symbol and that transactions for each ARRA award are conducted within a single state appropriation symbol;

- The "Amount of Award" on the 1512 report matches the award amount in the federal award letter;
- ARRA funds use the MOF designation "V" in FAMIS;
- Cash draw downs for ARRA awards are assigned revenue source code "0581" in FAMIS;
- Revenue and expenditure amounts (cumulative totals) on the 1512 report matches the amount recorded in FAMIS;
- Vendor payments $25,000 and under as recorded in FAMIS (including p-card charges) are reported in the aggregate (total amount and total number of vendors) in the "Project/Award Information" section of the 1512 report;
- Vendor payments over $25,000 as recorded in FAMIS (including p-card charges) are reported individually on the 1512 vendor page;
- A worksheet showing how vendor payments are calculated has been submitted to OERR for each ARRA award;
- A worksheet showing how the "Number of Jobs" amount was calculated (reported in 'full time equivalents') has been submitted to OERR for each ARRA award subject to the 1512 reporting requirements;
- The "Number of Jobs" amount on the 1512 report matches the amount on the job calculation worksheet submitted to OERR for each ARRA award subject to the 1512 reporting requirements;
- And, the narratives entered in the "Award Description" and "Quarterly Activities/Project Description" fields are updated and provide sufficient detail to the public.

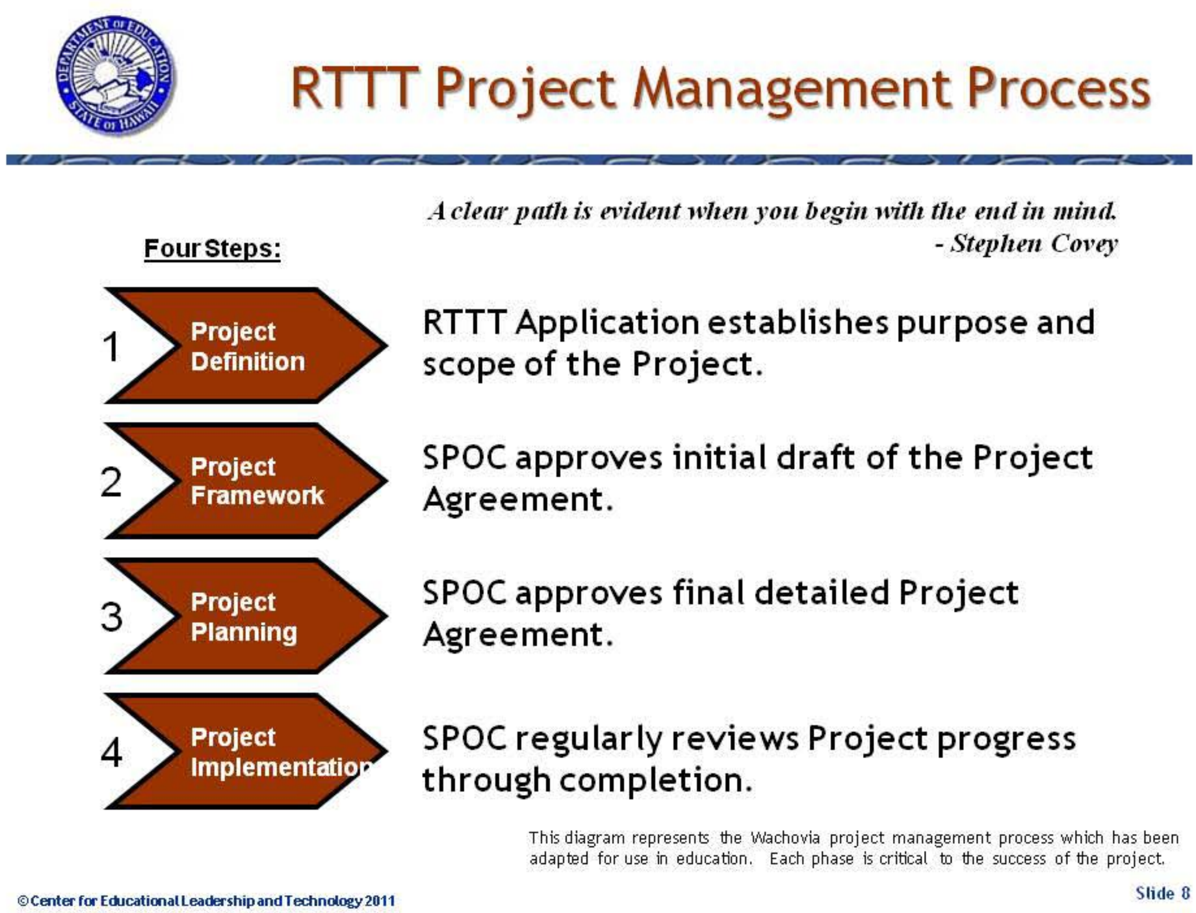
Similar to previous reporting quarters, once the initial submission period is over and after providing state entities a reasonable period of time to address issues identified by OERR and the federal reviewer, the OERR will issue a memorandum describing unresolved data quality and reporting issues.

Should you have any questions please contact Mark Anderson (manderson@dbedt.hawaii.gov) at 586-3035.

Hawaii Department of Education
Race to the Top Project Management and Oversight Framework and Process

This serves, in part, as documentation of the following:

- ☐ Race to the Top-specific monitoring plan, protocols, and schedule for all subrecipients, vendors, and contractors.
- ☒ Evidence that the State's monitoring strategy outlines its ability to:
  - ☒ Assess HIDOE progress and alignment to their scopes of work, determine the quality of implementation through established methods, tools, and processes, and identify and work to mitigate potential obstacles and/or risks that could impact the LEAs' ability to achieve its goals.
  - ☐ Monitor grant and subgrant activities to assure compliance with applicable Federal requirements; and
- ☐ Sample monitoring reports and corrective action follow-up.



A. MANAGING PROJECT IMPLEMENTATION

Strategic Project Oversight Committee:

- Special executive leadership group focused on the management of strategic organizational initiatives

Members:

- Kathryn Matayoshi, *Superintendent*, ***Sponsor: Assurance A (Community Engagement project only)***

- Ronn Nozoe, *Deputy Superintendent,* ***Sponsor: Assurance A (except for Community Engagement) and Assurance E***
- Adele Chong, *Acting Asst Supt, Office of Fiscal Services & Chief Financial Officer*
- Randolph Moore, *Asst Supt, Office of School Facilities and Support Services*
- Kerry Tom, *Asst Supt, Office of Human Resources,* ***Sponsor: Assurance D***
- David Wu, *Asst Supt, Office of Information Technology Support,* ***Sponsor: Assurance C***
- Joyce Bellino, *Asst Supt, Office of Curriculum, Instruction and Student Support;* ***Sponsor: Assurance B***
- Robert Campbell, *Executive Assistant for School Reform*

Administrative Management and Support Team:

- Christina Tydeman, *Director of Data Governance, Office of the Superintendent*
- Cara Tanimura, *Director of Systems Accountability Office, Office of the Superintendent*
- Peter Kawamura, *Special Projects Specialist, RTTT Aligned Planning Project Manager*
- Edward Wada, *Portfolio Manager, Assurance A*
- Sandy Goya, *Portfolio Manager, Assurance A (Community Engagement)*
- Laurel Nishi, *Portfolio Manager, Assurance B*
- Camille Masutomi, *Portfolio Manager, Assurance E*

Purpose and Framework of SPOC:

- Identifies, approves, and oversees progress on projects necessary to implement the Race to the Top
- SPOC members Sponsor individual RTTT projects
- The SPOC is responsible for coordinating all of the deliverables in the RTTT projects
- The SPOC supports Project Managers by assuring the necessary resources are available and by removing all barriers to progress
- SPOC meetings are:
  - ◊ Organized
  - ◊ Focused
  - ◊ Efficient
- The SPOC's goal is to help all participants do the best job possible in order to benefit the students in Hawaii's public schools
- SPOC meeting participants are responsible for being thoroughly prepared for their presentation *(Attachment: C4a: SPOC Member Responsibilities)*
- The SPOC is responsible for asking tough questions that will make the work better

SPOC Weekly Meetings

- The SPOC meets every Monday from 7:30 –9:00 AM
- Maintain an Issues Resolution Matrix and review the status of SPOC Issues at the beginning of each meeting *(See Attachment C7a)*

- Review Individual Projects:
  - ◊ Project Manager provides current documentation to SPOC Coordinator to be distributed prior to the meeting
  - ◊ SPOC members review drafts and final versions of Project Plans as well as Status Reports of launched Projects prior to the meeting
  - ◊ SPOC members engage with the Project Management and Teams to track deliverables and issues
  - ◊ SPOC members review and approve Project Revisions
- Documentation – Agenda and SPOC meeting minutes in which decisions and follow up are recorded for internal departmental records *(See Attachment C4b for Samples)*

Data Based Decision Making:

- All organizations require information about their operations for effective management
- Decisions are only as good as the information upon which they are based
- The SPOC needs project managers' help in managing RTTT
- Project managers are responsible for providing the SPOC with current information about the status of their projects

<u>RTTT PROJECT MANAGEMENT IMPLEMENTATION PLAN: FRAMEWORK AND PROCESS</u>

- ➢ Projects do not exist in isolation
- ➢ RTTT projects are implementing a strategic plan
- ➢ RTTT projects are highly interdependent
- ➢ The SPOC is responsible for overall coordination of strategic projects
- ➢ The SPOC needs access to accurate and up-to-date project status information

RTTT Project Manager's Responsibilities

- Act as a thought leader in planning the projects
- Put forth your best ideas
- Engage in a dialog with the SPOC in order to make the project as good as possible
- Create a detailed model of the project
- Uncover as many problems as possible before the work begins
- Manage the work of the Project Team to keep on schedule
- Protect the project from uncontrolled growth
- Work to resolve or escalate issues that threaten the schedule *(See Attachment C7b - Project Manager Issue Resolution Template)*
- Assure that the project Deliverables are high in quality

<u>Process</u>

1. Project Managers Assigned (Attachment C5-XX: Project Manager List)

2. **Project Managers create project agreements based on USDOE-approved Scope of Work deliverables for their projects** *(See Attachment C10: Aligned Planning Project Agreement and C11: Accountability Framework for Samples)*

   The Project Agreement: The Plan is the Project. The Project is the Plan.
   - ➢ **PURPOSE: Common format for describing all projects**
   - Facilitates Project Planning Process:
     - ◊ Clear statement of desired project outcomes
     - ◊ Alignment of project outcomes to strategic plan
     - ◊ Deliverables, milestones, and accountability
     - ◊ Project staffing and organization
     - ◊ Dependency and Risk Mitigation
     - ◊ Budget and Communication Plan
   - Facilitates Executive Oversight Process:
     - ◊ Simplifies oversight of multiple projects
     - ◊ Project Agreement Scope of Work is the SPOC Status Report

3. **SPOC reviews final Project Agreement** *(See Attachments: C4c: Project Agreement Summary review schedule and C4d: Detailed Project Agreement Review Schedule)*
   - Project Manager provides current documentation to SPOC Coordinator to be distributed prior to the meeting
   - SPOC members review final project plans prior to the meeting and ask the following questions:
     - ◊ Will the tasks produce the deliverables?
     - ◊ Are risks and assumptions adequately addressed?
     - ◊ Is the communications plan sound?
     - ◊ Can the SPOC provide the necessary resources?
     - ◊ Is the project approved for launch?

4. **Project Launch**
   - Project Manager and Team begin work
   - Project Manager meets weekly with Project Team:
     - ◊ Updates and maintains the Project Plan and Status Report
     - ◊ Conducts work reviews for all significant deliverables
     - ◊ Identifies and tracks issues
     - ◊ Manages the project budget
     - ◊ Ensures the quality of the deliverables

5. **Project Amendments** *(See Attachment C4e: Project Manager Amendments Template)*
   - Manage Project Revisions as necessary
     - ▪ The Project Manager needs to protect the project from unplanned changes.
     - ▪ Changes to the scope of the project plan must be approved by the SPOC and USDOE.
       - ◊ Project Manager identifies necessary changes to the project plan
       - ◊ Project Sponsor reviews and approves proposed changes to the project plan

- ◊ Proposed changes to the project plan presented to SPOC for approval

- **Guidelines for Amendments**
- Race to the Top grantees may propose revisions to the U.S. Department of Education to goals, activities, time lines, budget, or annual targets, provided that the following conditions are met:
  - ◊ Such revisions do not result in the grantee's failure to comply with the terms and conditions of this award and the program's statutory and regulatory provisions;
  - ◊ The revisions do not change the overall scope and objectives of the approved proposal; and
  - ◊ The Department of Education (the Department) and the grantee mutually agree in writing to such revisions. The Department has sole discretion to determine whether to agree to such revisions or modifications.
- The annual performance measures States included in their applications are leading indicators of their success towards increasing student outcomes and States will be held accountable for meeting these targets or making significant progress towards them.
- ***Circumstances requiring submission of an amendment request:***
  - ◊ **Changes in activities.** A grantee must request an amendment for any proposed revision that constitutes a substantial change in activities from the approved grant project, regardless of budgetary impacts. Your program officer can help you determine whether the change is a substantial change in activities. Such changes may include, but are not limited to changes in goals, activities, timelines, annual targets, or performance measures.
  - ◊ **Major budgetary changes.** Budgetary changes include transfers among direct cost categories (e.g., personnel, travel, equipment) and among separately budgeted programs, projects, function, or activities that exceed $100,000 of the current approved budget. In such cases, a grantee must request an amendment to its budget.
- **Rough Samples**
  - ◊ The **amendment letter link below** represents Hawaii's initial amendments as of March 2011. The first amendment link sent listed below reflects minor amendments Hawaii's been granted by USDOE--these changes mostly related to changing dates on deliverables. We have not yet submitted any requests for substantive amendments;
  - ◊ The **RTTT state amendments** web page may be a useful reference point in considering future amendments. Also, our subsequent amendments will be posted here in the future. ***Please note, however, that the letters provide only a summary overview of the amendments and USDOE will require more detailed information (see question on following page).***

    a) Link to USDOED's letter approving Hawaii's amendment
    http://www2.ed.gov/programs/racetothetop/amendments/hawaii.pdf

    b) Link to letters from USDOED approving all RTTT state amendments
    http://www2.ed.gov/programs/racetothetop/amendments

Expectations

Strategic Planning Oversight Committee (SPOC)

1. SPOC is the top priority.
    a. Only in emergency situations will participants check email, read text messages, and take calls or do other non-SPOC related tasks during meeting times.
    b. When such an emergency occurs and full participation is questionable, the meeting may be adjourned and rescheduled.
2. SPOC meets from 7:30 – 9:00 a.m. every Monday morning.
    a. SPOC will start promptly at 7:30 a.m. and end no later than 9:00 a.m.
    b. Participants are expected to be present for the entire meeting.
    c. All other meetings/conference calls/commitments are to be scheduled outside the regular time slot.
    d. If conflicts are unavoidable, the SPOC coordinators are to be notified prior to the scheduled meeting in order to determine if the meeting needs to be rescheduled to an earlier time slot (e.g., 7:00 – 8:30)
3. Materials for SPOC must be posted on the SPOC sharepoint site one working day prior to the meeting in order to allow prior review (i.e., to Peter by close of business two days prior).
    a. Materials that do not meet this deadline will not be considered at the meeting, and the agenda item may be rescheduled for the following meeting.
4. Materials posted on the SPOC sharepoint site for the meeting are to be reviewed prior to the start of the meeting.
5. SPOC discussions are to stay focused and on-topic.
    a. Only agenda items may be discussed.
    b. Any discussion that extends beyond 2 minutes may be assigned to key individuals for discussion outside of SPOC. Assigned individuals are to report the outcome at the next SPOC meeting.
6. When absent, SPOC participants are responsible reviewing the minutes of the meeting missed and reconciling any issues or concerns prior to the next SPOC meeting. Review of the prior meeting minutes does not include time to update participants who were absent.

Hawaii Department of Education
Strategic Project Oversight Committee (SPOC)
Meeting Agenda

November 29, 2010
0645 - 0815
Supt's Office

1. Review minutes of 11/22 SPOC Meeting (5 minutes)

2. Issues Log (5 minutes)

    - Projects needing immediate Race funding

3. Review project agreements:

    - ZSI's (20 minutes)

4. SPOC policies (30 minutes)

5. Topics for 11/29 meeting (5 minutes)

6. Milestones
    - Procurement timeline/alternatives to expedite procurement process (due 12/6)
    - Meeting with all Project Manager's (12/9)
    - Community Engagement project agreement budget details (due 12/13)

Upcoming Project Reviews:

- December 6:
    - Induction & Mentoring
    - Improving Effectiveness of Educator Preparation Programs
    - Knowledge Transfer System/Professional Development Framework
    - Equity Plan/Recruitment and Placement
- December 13: Project Agreement review
- December 20: Project Agreement review

SPOC

MEETING MINUTES

Meeting Date: 11/29/2010

Meeting Location: Superintendent's Office

Approval: Final

Recorded By: Peter Kawamura

1 ATTENDANCE

Name	Organization	Title
Members Present		
Kathryn Matayoshi	Superintendent's (Supt's) Office	Superintendent
Ronn Nozoe	Supt's Office	Acting Deputy Superintendent
Merlene Akau	OHR	Acting Assistant Superintendent
Joyce Bellino	OCISS	Acting Assistant Superintendent
James Brese	OFS	Assistant Superintendent
Randy Moore	OSFSS	Assistant Superintendent
David Wu	OITS	Assistant Superintendent
Members Not Present		
Guests		
Dr. Robert Campbell	Supt's Office	Executive Assistant for Strategic Reform
Dr. Raelene Chock	Farrington Community School	Principal
Dr. Tammi Chun	Hawaii P-20 Partnerships for Education	Executive Director
Kelly James	Education First Consulting	Senior Consultant
Cara Tanimura	Supt's Office	Systems Accountability Office Director
Facilitators		
Dr. Christina Tydeman	Supt's Office	Special Projects Director – Data Governance
Peter Kawamura	Supt's Office	Program Specialist I

2 MEETING LOCATION

Building: Queen Liliuokalani Building

Conference Room: Supt's Office

Conference Line: N/A

Web Address: N/A

3 MEETING START

Meeting Schedule Start: 06:45

Meeting Actual Start: 06:55

Meeting Scribe: Peter Kawamura

4 AGENDA

- **Review of minutes from 11/22/10 SPOC Meeting**
  - One revision to an incomplete sentence on page 4 was pointed out
  - Minutes from the 11/22 SPOC were approved as amended
- **Issues Log**
  - § Dr. Tydeman updated the committee on the data links between DSI and other systems like LDS and eCSSS
    - DSI will share usage data with LDS & eCSSS only
  - § Mr. Nozoe updated the committee on expedited procurement processes for Race projects
    - A meeting will be scheduled to address the issue

- **ZSI's Project Agreement**
  - Mr. Nozoe provided the committee with an overview of the ZSI project agreement
    - § Supt. Matayoshi commented Desired Result 2.3 is vague
      - Ms. James replied meetings are taking place to define "dramatic improvement" in student outcomes in the Zones
      - Supt. Matayoshi agreed to convene the strategic policy group to meet regarding this issue
        - Define what outcomes for the Zones should be
        - Supt. Matayoshi added AYP should be part of any measures used
      - Mr. Moore commented that the desired result of the project is to put supports in place to facilitate school initiatives, not necessarily student achievement
        - Dr. Campbell added this plan supports complex and school plans to turn around schools
      - Mr. Wu commented state level and complex level plans must be synchronized in order to maximize efforts
    - § In response to Supt. Matayoshi's question, Mr. Nozoe commented deliverable 3.2 is equivalent to a complex operational plan
    - § Dr. Campbell commented Race projects must coordinate with other efforts like SIG since many of the same personnel are involved in more than one endeavor
      - Coordination of resources should be a project deliverable
    - § Ms. James commented mixed messages are sent out to the Zones' leadership regarding their autonomy with these projects/programs

- **Post Meeting Action Item: Supt. Matayoshi will convene a strategic policy group meeting to define "dramatic improvement" in student outcomes in the Zones and the role of Zones' leadership in RttT projects**

- **SPOC approves ZSI Project Agreement subject to review after strategic policy group meeting**

- **SPOC Policies**
  - A routing slip is now available for SPOC use to approve all project agreements brought to the committee
  - A Budget request form is available for project managers with immediate Race funding needs

- **Agenda Items For Next Meeting**
  - Induction & Mentoring Project Agreement
  - Knowledge Transfer System/PD Framework (?)

5 MEETING END: 08:03

6 MEETING SCHEDULE END: 08:15

7 NEXT MEETING

Next Meeting: Supt's Office December 6, 2010 at 07:30

Sponsor	Portfolio	Assurance Lead Portfolio Manager	Project	Project Manager
Kathryn Matayoshi	**A3) Community Engagement**	**Sandy Goya**	A3a) Community Engagement	**Sandy Goya**
Joyce Bellino	**B1) High Standards**	**Laurel Nishi**	B1a) Common Core State Standards Implementation	**Clayton Kaninau**
			B1b) College and Career Ready Diploma Implementation	
			B1c) Assessment Literacy	**Monica Mann**
			B1d) Functional Data Analysis and Instructional Teams	
			B1e) STEM Learning Strategy and Network	**Derek Minakami**
	B2) Assessments		B2a) Interim and Summative Assessments	**Cara Tanimura**
			B2b) End of Course Assessments	**Dale Asami**
	B3) Student Support		B3a) Continuum of Proactive Student Supports for Early Intervention & Prevention	**Jean Nakasato**
	B4) School Improvement Grant		B4a) School Improvement Grant	**Bruce Naguwa**
David Wu	**C1) Technology Support**	**Position 2 to be hired and placed in OSR**	C1a) Longitudinal Data System	**David Hawkins (External)**
			C1b) Infrastructure (Single Sign On)	
			C1c) Network Work Plan	**Les Miyamoto**
Kerry Tom	**D1) Performance Management**	**Position 3 to be hired and placed in OSR (Robert Campbell: Temporary)**	D1a) Performance-Based Compensation System	**Yvonne Lau**
			D1b) Evaluation Systems	
	D2) Professional Development		D2a) Induction and Mentoring	**Greg Dikilato**
			D2b) Improving Effectiveness of Educator Preparation Programs	
			D2c) Knowledge Transfer System/Professional Development Framework	
	D3) Human Resources		D3a) Equity Plan/Recruitment and Placement	**Glenn Kunitake**
			D3b) Alternative Route to Certification for Teachers	**Linda Kamiyama**
			D3c) Alternative Certification for Principals and Vice Principals	
Ronn Nozoe	**A1) Accountability and Issue Resolution**	**Robert Campbell** **Ed Wada**	A1a) Accountability Framework	**Jerry Wang**
			A1b) Aligned Planning (Academic and Financial Plan/Strategic Plan/BSC)	**Peter Kawamura**
			A1c) Federal Programs Alignment	**Linda Unten**
			A1d) Public Accountability	**Carole Furuya**
	A2) System Transformation		A2a) Reorganization of Offices	**Christina Tydeman**
			A2b) Hawaii Partnership for Educational Research Consortium and Research Symposium	**Glenn Hamamura (External)**
	E1) Zones of School Innovation	Camille Masutomi	E1a) HIDOE Assistance and Oversight	**Camille Masutomi**

Red= Assur A (Org Sytms) Green = Assur B (Standards & Assess)Blue = Assurance C (Data) Orange=Assur D (Great Teachers & Leaders) Purple=Assur E (Turning Around Lowest Perform Schools)

(items indicated in red revised 12/9/10, 3p)

Race to the Top Project Schedule for Presenting 5-Pager of Project Agreement to SPOC

Already approved by SPOC

1. Reorganization of Offices (Christina Tydeman)
2. Induction & Mentoring (Camille Masutomi)
3. HIDOE Assistance & Oversight (Raelene Chock)

Pending Approval by SPOC

4. Interim and Summative Assessments (Cara Tanimura)
5. End-of-Course Assessments (Cara Tanimura)

Dec. 13th (Due by COB of Dec. 8)

1. Longitudinal Data System (David Hawkings)
2. Infrastructure (Single Sign On) (David Hawkings)
3. Network Work Plan (Les Miyamoto)
4. Accountability Framework (Jerry Wang)
5. Aligned Planning (Peter Kawamura)
6. Federal Programs Alignment (Linda Unten)
7. Assessment Literacy (Monical Mann)

Dec. 20th – (Due by start of business on Dec. 15) (Dec 17 is a furlough day)

1. CCSS Implementation (Clayton Kaninau)
2. CCR Diploma Implementation (Clayton Kaninau)
3. STEM (Derek Minakami)
4. Functional Data Analysis & Instruction Teams (Monica Mann)
5. Comprehensive Student Support & Response to Intervention Alignment (Jean Nakasato)
6. Performance-Based Compensation System (Yvonne Lau)
7. Evaluation Systems (Yvonne Lau)
8. Community Engagement (Tammi Oyadomari-Chun)

Dec. 27th – (Due by COB Dec. 20) (due early as a result of furlough and Christmas holiday)

1. Improving Effectiveness of Professional Development Programs (Greg Dikilato)
2. Knowledge Transfer System/Professional Development Framework (Everett Urabe/Camille Masutomi)
3. Equity Plan/Recruitment and Placement (Kerry Tom)
4. Alternative Certification for Teachers and Principals (Sean Arai/Linda Kamiyama)
5. School Improvement Grant (Bruce Naguwa)
6. HPERC (Glenn Hamamura) (originally scheduled for 12/9 SPOC)

Detailed Project plans due:

End of February 2011

Prioritization of what's due first depends on feedback from USDOE

Project Manager Meeting Schedule: Before March, will have 2 times monthly through March:

Fridays on the following dates (with exceptions noted below):

- **Jan 7 (Friday), 9a-4p** (tentatively at OCISS Annex, Room 226)
- **Jan 18th (Tuesday), 1:00p-4:**00p (Windward Community College, Hale Akoakoa Room); **following Twice-Yearly Retreat, which is from 9a-noon)**
- **Feb 4 (Friday), 9a-4p** (tentatively at OCISS Annex, Room 226)
- **Feb 18 (Friday), 9a-4p** (tentatively at OCISS Annex, Room 226)
- **March 4 (Friday), 9a-4p** (tentatively at OCISS Annex, Room 226)
- **March 24 (Thursday), 9a-4p** (tentatively at Dole Cannery, Room 435)

(items indicated in red revised 12/9/10, 3p)

Starting end of March and going backward: schedule 3 Full Project Agreement Presentations per SPOC meeting

All SPOC meetings are from 7:30-9:00 in the BOE Room.

Name of Project	Name of Project Manager
January 24	
1. Reorganization	Christina Tydeman
2. ____	______________________________
3. Accountability Framework	Jerry Wang
January 31	
No project plan presentations	
February 7	
4. HIDOE Assistance and Oversight	Raelene Chong
5. Aligned Planning	Peter Kawamura
6. Federal Program Alignment	Linda Unten
7. HI Partnership Ed Research Consortium (HPERC)	Glenn Hamamura
8. Network Work Plan	Les Miyamoto
February 14	
9. Longitudinal Data System	David Hawkins
10. Alternative Certification for Teachers	Linda Kamiyama
11. Alternative Certification for Principals and VPs	Linda Kamiyama
February 22 (Tuesday)	
12. Continuum of Proactive Student Supports (RTI)	Jean Nakasato
13. Infrastructure – Single Sign-On	David Hawkins
14. College and Career Ready Diploma	Clayton Kaninau
February 28	
15. Common Core State Standards Implementation	Clayton Kaninau
16. Assessment Literacy	Monica Mann
17. Functional Data Analysis and Instructional Teams	Monica Mann
March 7	
18. Interim/Summative Assessments	Cara Tanimura
19. End of Course Assessments	Cara Tanimura
20. Community Engagement and Public Reporting	Richard Rapoza
March 14	
21. Induction and Mentoring	Camille Masutomi
22. Knowledge Transfer System/PD Framework	Greg Dikilato /Camille Masutomi
23. Improving Effectiveness of Ed Prep Programs	Greg Dikilato
March 21	
24. Equity Plan/Recruitment and Placement	Kerry Tom
25. Evaluation Systems	Yvonne Lau
26. Performance-Based Compensation System	Yvonne Lau
March 29 (Tuesday)	
27. STEM Learning Strategy and Network	Derek Minakami
28. ____	__________________________________
29. ____	__________________________________

Hawaii Department of Education – Race to the Top
Grant Amendment Request Form & Guidelines
Note: Project Agreement and Scope of Work must also be amended and submitted to SPOC via your project sponsor

Race to the Top grantees may propose revisions to the U.S. Department of Education to goals, activities, time lines, budget, or annual targets, provided that the following conditions are met:

- Such revisions do not result in the grantee's failure to comply with the terms and conditions of this award and the program's statutory and regulatory provisions;
- The revisions do not change the overall scope and objectives of the approved proposal; and
- The Department of Education (the Department) and the grantee mutually agree in writing to such revisions. The Department has sole discretion to determine whether to agree to such revisions or modifications.

The annual performance measures States included in their applications are leading indicators of their success towards increasing student outcomes and States will be held accountable for meeting these targets or making significant progress towards them.

Circumstances requiring submission of an amendment request:

- **Changes in activities.** A grantee must request an amendment for any proposed revision that constitutes a substantial change in activities from the approved grant project, regardless of budgetary impacts. Your program officer can help you determine whether the change is a substantial change in activities. Such changes may include, but are not limited to changes in goals, activities, timelines, annual targets, or performance measures.

- **Major budgetary changes.** Budgetary changes include transfers among direct cost categories (e.g., personnel, travel, equipment) and among separately budgeted programs, projects, function, or activities that exceed $100,000 of the current approved budget. In such cases, a grantee must request an amendment to its budget.

Rough Samples

- The **amendment letter link below** represents Hawaii’s initial amendments as of March 2011. The first amendment link sent listed below reflects minor amendments Hawaii's been granted by USDOE--these changes mostly related to changing dates on deliverables. We have not yet submitted any requests for substantive amendments;
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What to include in the amendment request:

Provide information regarding the following five elements:

1. **Grant project area(s) that would be affected by the change.**

   Project Name and Code: ____________________________

   Project manager and Sponsor: ________________________ Date: _______________

2. **Description of the requested change.** Include a *brief explanation* of the original work/activities/budget and a more detailed description of the new work/activities/budget being requested. (Please align to your Deliverables in the USDOE Scope of Work and your Project Agreement)

3. **Impact statement regarding performance metrics/outcomes.** Explain how this change would affect the State's performance measures and student outcome goals, and how the requested change helps the State meet its goals. (include any impact the amendment may have on the project's future activities or on dependencies associated with other RTTT projects)

4. **Budget documentation.** Include the most recent relevant project-level budget figures/information and indicate the requested changes. If the requested amendment does not affect the budget, indicate that in the request.

NOTE: Amendment requests must be submitted prior to implementing any changes to grant projects or budgets.

Weekly RTTT Report Narrative

Description:

The Weekly Race to the Top (RTTT) Report is a weekly report submitted to the HIDOE (superintendent and deputy) and governor's office (Education Policy Analyst) by the Office of Strategic Reform (OSR)

Weekly Report Process:

RTTT Project Manager submits answer to the following three questions to OSR by noon on the second to the last work day of the week.

1) *What happened with the project this past week? What actions were completed this week to move the project forward?*

2) *What is coming up on the project deliverables/milestones? What is being done?*

3) *What are current issues/challenges that the project is facing? How are the issues/challenges being dealt with?*

OSR compiles the answers and adds a summary page which may include a management comment written by Executive Assistant for Strategic Reform. The report is distributed to the HIDOE (superintendent and deputy) and governor's office (Education Policy Analyst) and filed in Sharepoint.

OSR is reviewing reporting requirements for RTTT Weekly Report and other reports in order to simply the multiple report requirements.

	Project Agreement Current				Key:		Project On Track
RTTT Project Agreement Deliverable Status	**Project Agreement Out of Date**						Warning
	No Project Agreement						Project Behind Schedule
Project Name	**Major Deliverables or Project Agreement Date**	**Start Date**	**End Date**	**Status (% complete)**	**Actual Completion Date**	**Project Status**	
A3a) Community Engagement	12/15/2010						
B1a) Common Core State Standards Implementation	2/1/2011						
B1b) College and Career Ready Diploma Implementation	2/1/2011						
B1c) Assessment Literacy	4/5/2011						
B1d) Functional Data Analysis and Instructional Teams	4/5/2011						
B1e) STEM Learning Strategy and Network	3/29/2011						
B2a) Interim and Summative Assessments	12/9/2010						
B2b) End of Course Assessments	4/6/2011						
B3a) Continuum of Proactive Student Supports for Early Intervention and Prevention	4/7/2011						
B4a) School Improvement Grant							
C1a) Longitudinal Data System	4/7/2011						
C1b) Infrastructure (Single Sign On)	4/7/2011						
C1c) Network Work Plan	4/6/2011						
D1a) Performance-Based Compensation System	3/21/2011						
D1b) Evaluation Systems	3/21/2011						
D2a) Induction and Mentoring	3/14/2011						
D2b) Improving Effectiveness of Educator Preparation Programs	3/14/2011						
D2c) Knowledge Transfer System/Professional Development Framework	3/14/2011						
D3a) Equity Plan/Recruitment and Placement	4/8/2011						
D3b) Alternative Route to Certification for Teachers	4/4/2011						
D3c) Alternative Certification for Principals and Vice Principals	4/7/2011						
A1a) Accountability Framework	1/18/2011						
A1b) Aligned Planning (Academic and Financial Plan/Strategic Plan/BSC)	4/4/2011						
A1c) Federal Programs Alignment	3/31/2011						
A1d) Public Accountability							
A2a) Reorganization of Offices	4/5/2011						
A2b) Hawaii Partnership for Educational Research Consortium and Research Symposium	4/4/2011						
E1a) HIDOE Assistance and Oversight	2/4/2011						
E1b) Kau Keaau Pahoa ZSI	3/21/2011						
E1c) Nanakuli Waianae ZSI	3/21/2011						

<Project Name>
Project Issues/Resolution Matrix

SAMPLE

SPOC Issue Resolution Matrix										
Issue #	**Project Agreement**	**Issue Description**	**Priority**	**Date Logged**	**Issue Assigned to**	**Due Date**	**Date Resolved**	**Status**	**Proposed/Final Resolution**	**Notes**
1	CCSS PD	Timeline including deliverables ID'ed in 3.2 of Project Agreement and 5 phases of PD	2-Medium	10/12/2010	C. Masutomi	10/20/10	10/18/10	4-Resolved	Revised project agreement with timeline submitted	
2	DSI	Role of DSI in the LDS and other data systems (e.g., eCSSS)	1-High	10/18/2010	R. Nozoe	11/01/10	11/29/10	4-Resolved	DSI will share usage data with eCSSS & LDS	
3	DSI	Implementation timeline needed for integrating all grade levels into DSI	1-High	10/18/2010	J. Bellino	11/08/10	11/08/10	4-Resolved	Timeline provided to SPOC	DSI Project Agreement
4	DSI	Plans to increase item banks	2-Medium	10/18/2010	M. Mann	11/01/10	11/01/10	4-Resolved	Talking points document regarding DSI item bank submitted to SPOC	
5	DSI	Update regarding gradebook rollout	2-Medium	10/18/2010	D. Wu	11/29/10	11/29/10	4-Resolved	PMOC will evaluate options for gradebook rollout	Reported on 11/10. Update from 11/4 enterprise architecture meeting requested; price to integrate gradebook; anticipate decision by 1/31/11
6	DSI	System integration with eHR	2-Medium	10/18/2010	D. Wu	11/15/10	11/01/10	4-Resolved	Process is ongoing; data issues creating challenges	Reported on 11/1/10. Access to data from eHR to DSI; linking eHR to eSIS
7	Alternative Certification for Teachers & Principals	Research necessity of legislative changes to accommodate alternate certification of principals	1-High	11/8/2010	L. Kamiyama	11/15/10	11/15/10	4-Resolved	Per AG's Office, Act 34 will need to be modified	OHR to coordinate with OOS to determine relevant due dates
		Priority	1-High							
			2-Medium							
			3-Low							
		Status Codes	1-Overdue							
			2-In Process							
			3-Pending							
			4-Resolved							

Program Management Issue Resolution

Race to the Top

Issue needing resolution:

Key Question Requiring Decision:

Escalation Tracking

Role Level	Name(s)	Decision (Leave blank for the levels where no decision was made.)	Dates		
			Escalated for Decision Making (to next level)	Returned for Decision Making (to prior level)	Decision Finalization
Project Manager					
Assurance Lead Portfolio Manager					
Sponsor					
PMOC (Sponsor(s), EASR)					
SPOC (Superintendent, Deputy Superintendent, Assistant Superintendents, EASR)					

Program Management Issue Resolution

Race to the Top

Issue needing resolution:
The grant application for funding of the P20 LDS was not awarded. The original plan set forth in RTTT application cannot be achieved without additional funding.

Key Question Requiring Decision:
Which funding source will be used to meet the required P20 LDS deliverables?

Escalation Tracking

Role Level	Name(s)	Decision (Leave blank for the levels where no decision was made.)	Dates		
			Escalated for Decision Making (to next level)	Returned for Decision Making (to prior level)	Decision Finalization
Project Manager	Christina Tydeman		11/15/10		
Assurance Lead Portfolio Manager	TBD		11/15/10		
Sponsor	David Wu		11/18/10		
PMOC (Sponsor(s), EASR)	David Wu, Bob Campbell		11/19/10		
SPOC (Superintendent, Deputy Superintendent, Assistant Superintendents, EASR)	Kathryn Matayoshi, Ronn Nozoe, Joyce Bellino, David Wu, James Brese, Randy Moore, Merlene Akau, Bob Campbell	Additional ARRA funds requested from Governor's office.			11/29/10

Program Management Issue Resolution

Race to the Top

Issue needing resolution:
The RTTT application has a deliverable requiring a bridge HSA for use while the CCSS assessment is developed. By receiving the SBAC funding, the deliverable to develop a bridge HSA becomes redundant and of limited use.

Key Question Requiring Decision:
Should a bridge HSA be developed as specified in the RTTT application, or should the SBAC timeline prevail?

Escalation Tracking

Role Level	Name(s)	Decision (Leave blank for the levels where no decision was made.)	Dates		
			Escalated for Decision Making (to next level)	Returned for Decision Making (to prior level)	Decision Finalization
Project Manager	Cara Tanimura		11/15/10		
Assurance Lead Portfolio Manager	TBD		11/15/10		
Sponsor	Joyce Bellino	No separate bridge HSA will be developed. Participation in SBAC will meet this deliverable requirement.			11/18/10
PMOC (Sponsor(s), EASR)					
SPOC (Superintendent, Deputy Superintendent, Assistant Superintendents, EASR)					

Program Management Issue Resolution

Race to the Top

Issue needing resolution: Insufficient paper stock for the release of the new reorganization memo.

Key Question Requiring Decision: Do we order more paper or have Reprographics print the document?

Escalation Tracking

Role Level	Name(s)	Decision (Leave blank for the levels where no decision was made.)	Dates		
			Escalated for Decision Making (to next level)	Returned for Decision Making (to prior level)	Decision Finalization
Project Manager	Christina Tydeman	Ordered more paper.	11/15/10		11/16/10
Assurance Lead Portfolio Manager	Robert Campbell			11/15/10	
Sponsor					
PMOC (Sponsor(s), EASR)					
SPOC (Superintendent, Deputy Superintendent, Assistant Superintendents, EASR)					

HAWAII STATE DEPARTMENT OF EDUCATION
RACE TO THE TOP
BALANCED SCORECARD PROCESS

- Balanced Scorecard Process
  - Balanced scorecard ("BSC")
    - Communicates DOE's mission and goals
    - Establishes strategies to accomplish goals
    - Communicates strategies to internal and external stakeholders
    - Follows progress of projects created to accomplish strategies
      - Leading and lagging indicators to see if strategies are working
    - Aligns strategic planning at state, complex area and school levels
  - Strategic Project Oversight Committee ("SPOC") identifies, approves and oversees the progress on projects that support the BSC process
    - Reviews leading and lagging indicators on BSC regularly
      - Address measures not on track toward target
        - Are measures valid?
        - Is strategy valid?
        - Is strategy being implemented with fidelity?
    - Replace or adjust strategies that are not succeeding
    - Review strategic objectives periodically as goals are achieved
  - Once BSC is established at state-level, process is replicated at complex-area and school-level
    - Complex-area and school-level BSC's should support and be aligned with state-level BSC
      - Goals and objectives
      - Strategies
      - Projects
    - Complex-area and school-level BSC's will also contain goals, objectives and strategies specific to their organization
    - SPOC process should also be replicated at complex-area and school-level
      - Review local BSC and its measures
      - Follow progress on local projects

BALANCED SCORECARD WORKING DOCUMENT

DRAFT

The Hawaii State Department of Education's Balanced Scorecard

Race to the Top Assurances
Common Core Standards and Assessments
Longitudinal Data
Great Teachers Great Leaders
Struggling Schools

	Objectives	Leading Indicators		Strategic Plan Measures (Lagging Indicators)	Baseline 2009-10	Target 2011-12	Actual 2011-12	Target 2013-14	Status	Goal Sponsor
	Goal 1: ASSURE ALL STUDENTS GRADUATE COLLEGE- AND CAREER-READY THROUGH EFFECTIVE USE OF STANDARDS BASED EDUCATION									
1.1	Utilize Formative Assessments, including Data for School Improvement (DSI) to drive instruction.	Leading Indicators: % of benchmarks (for tested subjects and grades) assessed per student using DSI (review monthly; source of data: LDS) % of teachers for all grades and subjects engaged in collaborative dialogue around data to refine instruction and school improvement (review quarterly; source of data: as reported by principals on quarterly progress reports for AcFin) % of teachers following process & results therein; using data	**A)**	Lagging Indicator: Teachers' use of formative assessments to drive instruction, including Data for School Improvement for targeted grade levels and content areas.	Reading Grade 3 73% Grade 4 77% Grade 5 78% Grade 6 65% Grade 7 47% Grade 8 43% Grade 10 23%	Reading Grade 3 100% Grade 4 100% Grade 5 100% Grade 6 100% Grade 7 100% Grade 8 100% Grade 10 100%				
					Mathematics Grade 3 73% Grade 4 77% Grade 5 78% Grade 6 67% Grade 7 51% Grade 8 45% Grade 10 34%	Mathematics Grade 3 100% Grade 4 100% Grade 5 100% Grade 6 100% Grade 7 100% Grade 8 100% Grade 10 100%				
1.2	Improve schools and system through use of longitudinal data system dashboards.	Leading Indicator: % of schools determined to be technically ready for DSI by the IT Readiness Assessment	**B)**	Lagging Indicator: TBD						
1.3	Use high quality standards, curriculum and materials.	Leading Indicators: % of teachers and administrators who report an increased level of understanding on the CCSS survey (review semi annually; source of data: TBD CSSS survey) % correlation between HSA scores and grades for tested subjects – by school and CAS (review each semester; source of data: LDS)\\	**C)**	Lagging Indicator: Percentage of students attaining proficiency by grade level on statewide assessments in: Reading, Mathematics, and Science.	Reading Grade 3 69% Grade 4 63% Grade 5 64% Grade 6 60% Grade 7 73% Grade 8 72% Grade 10 71% * Baseline SY 2010-11	Reading Grade 3 75% Grade 4 75% Grade 5 75% Grade 6 75% Grade 7 75% Grade 8 75% Grade 10 75%				
					Mathematics Grade 3 58% Grade 4 50% Grade 5 47% Grade 6 50% Grade 7 52% Grade 8 44% Grade 10 38% * Baseline SY 2010-11	Mathematics Grade 3 64% Grade 4 64% Grade 5 64% Grade 6 64% Grade 7 64% Grade 8 64% Grade 10 64%				
		·Common instructional materials selected and adopted by leadership. ·% of teachers accessing meta-tagged digital resources posted on DSI/HIDOE Standards Toolkit website.			Science Grade 4 49% Grade 8* N/A Grade 10 27% * Baseline SY 2010-11	Science Grade 4 64% Grade 8 TBD Grade 10 64%				

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1.4	Expand opportunities for rigorous Career and Technical Education programs of study within the pathways.	Leading Indicators: % of students on target for an on-time college and career-ready diploma (review each semester; source of data: SLDS) % of students completing Algebra I by 8th or 9th grade - taken and passed (review each semester; source of data SLDS) % of students enrolled in advanced study & internship opportunities in STEM course fields.	D)	Lagging Indicator: Percentage of on-time graduation rates with a college and career ready diploma for all students and subgroups.	All students N/A Disadvantaged N/A SPED N/A ELL N/A White N/A Black N/A Asian N/A Pacific Islander N/A American Indian N/A Hispanic N/A	All students 25% Disadvantaged 25% SPED 25% ELL 25% White 25% Black 25% Asian 25% Pacific Islander 25% American Indian 25% Hispanic 25%				
	Goal 2: ENSURE AND SUSTAIN A RICH ENVIRONMENT AND CULTURE FOR LIFE-LONG LEARNERS									
2.1	Increase personalization with appropriate and timely supports.		A)	Lagging Indicators: Percentage of ninth-grade students retained.	**12%**	**10%**	**8%**	**6%**		
			B)	Percentage of elementary and secondary students receiving a "usually" or "consistently" rating on all General Learner Outcomes, Hawaii's indicators of 21st century skills, at the end of the school year.	Elementary* 55% Secondary** N/A * report card marks ** senior project ratings	Elementary 59% Secondary TBD	Elementary 63% Secondary TBD	Elementary 67% Secondary TBD		
		Leading Indicator: % of students on target for graduation (review each semester; source of data: LDS)	C)	Lagging Indicator: Percentage of on-time graduation rates for all students and subgroups.	All students 80% Disadvantaged 83% SPED 58% ELL 70% White 79% Black 76% Asian 88% Pacific Islander 72% American Indian 79% Hispanic 75%	All students 85% Disadvantaged 85% SPED 85% ELL 85% White 85% Black 85% Asian 85% Pacific Islander 85% American Indian 85% Hispanic 85%				
		Leading Indicator: % achievement gap for the Native Hawaiian and disadvantaged subgroups in Reading and Mathematics (review each quarter; source of data: HSA online)	D)	Lagging Indicator: Achievement gap for the Native Hawaiian and disadvantaged subgroups in Reading and Mathematics.	Reading Disadvantaged 21.3% Native Hawaiian 13.3% ---------- Mathematics Disadvantaged 20.8% Native Hawaiian 15.2%	Reading Disadvantaged 20.3% Native Hawaiian 12.3% ---------- Mathematics Disadvantaged 19.8% Native Hawaiian 14.2%	Reading Disadvantaged 19.3% Native Hawaiian 11.3% ---------- Mathematics Disadvantaged 18.8% Native Hawaiian 13.2%	Reading Disadvantaged 18.3% Native Hawaiian 10.3% ---------- Mathematics Disadvantaged 17.8% Native Hawaiian 12.2%		
		Leading Indicator: Average # of discipline incidents per student (review quarterly; source of data: LDS)	E)	Lagging Indicator: Percentage of students reporting that they feel safe at their school by school type (elementary, middle/intermediate, high).	Elementary 75% Middle/Intermediate 55% High 48%	Elementary 80% Middle/Intermediate 60% High 53%	Elementary 85% Middle/Intermediate 65% High 58%	Elementary 90% Middle/Intermediate 70% High 63%		

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2.2	Ensure quality professional development including PDE3.	% of HIDOE PD offerings contained in PDE3 course catalog % of NHQT with a PD plan filed % of teachers becoming HQ; completing their PDP in a year	**F)**	Lagging Indicators: TBD						
2.3	Improve performance through a quality performance evaluation process.	Establish definition of "Highly Effective" teachers % of "marginal" teachers on PEP-T moving to "satisfactory" % of Leadership not receiving a 5 on PEP-SL	**G)**	Lagging Indicator: Percentage of classes taught by highly qualified and highly effective teachers.* * Highly qualified teacher data will be reported until highly effective teacher data are defined.	Highly Qualified State overall 80% Elementary 95% Secondary 76%	Highly Qualified State overall 100% Elementary 100% Secondary 100%				
			E)							
Goal 3: CONTINUOUSLY IMPROVE THE EFFECTIVENESS, EFFICIENCY, AND RESPONSIVENESS OF THE EDUCATIONAL SYSTEM										
3.1	Use effective external and internal communication.	Leading Indicators: % of principals who respond that communications have improved (review semi annually; source of data: TBD survey) % of parents who respond through a scientific survey that schools are working on improving their school (review semi annually; source of data: TBD survey)	**A)**	Lagging Indicator: Percentage of parents reporting that they are satisfied with their school by school type (elementary, middle/intermediate, high)	Elementary 75% Middle/Intermediate 66% High 59% Multi-level 57%	Elementary 79% Middle/Intermediate 70% High 63% Multi-level 61	Elementary 83% Middle/Intermediate 74% High 67% Multi-level 65	Elementary 87% Middle/Intermediate 78% High 71% Multi-level 69		

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	Objectives	Leading Indicators		Strategic Plan Measures (Lagging Indicators)	Baseline 2009-10	Target 2011-12	Actual 2011-12	Target 2013-14	Status	Goal Sponsor
3.2	Standardize practices based on data and research.	Leading Indicators: Median # of days, and range in # of days, that RTTT project deliverables are behind on schedule by sponsor (review monthly; source of data: updated project ements) % of key processes mapped as identified and planned (review quarterly; source of data: TBD) % of service departments whose KPIs show trends of improvement (semi annually). Initial set of KPIs include the following: Finance – average time to complete contracts; date when first paycheck received Tech. – average time to complete priority 1 help desk tickets Facilities - % of emergency requests completed within 2 hrs Facilities - % of urgent requests completed in 48 hours HR - time to fill open position (as measured from time of request to placement on payroll)	**B)**	Lagging Indicators: Percentage of principals, complex area superintendents, and state office educational officers who agree that the system has improved over the past school year.	Principals* N/A Complex area superintendents* N/A State office educational officers* N/A * Baseline July 2011	Principals TBD Complex area superintendents TBD State office educational officers TBD				
		Leading Indicator: TBD	**C)**	Percentage of middle/intermediate and high schools receiving 6 year accreditation or 6 year accreditation with 3 year review status.	Middle/Intermediate 57% High 29%	Middle/Intermediate 62% High 34%	Middle/Intermediate 67% High 39%	Middle/Intermediate 72% High 44%		
		Leading Indicator: TBD	**D)**	Number participating in the program for 4-year-old students.	4-year-old students N/A	4-year-old students TBD				

Strategies for Goal 1: ASSURE ALL STUDENTS GRADUATE COLLEGE- AND CAREER-READY THROUGH EFFECTIVE USE OF STANDARDS BASED EDUCATION

Objective	Strategy	Project	Sponsor	Leading Indicators	Comments
1.1 Utilize Formative Assessments, including Data for School Improvement (DSI) to drive instruction.				Benchmark results	Clarification: Use formative assessment as an instructional process. Ensure the utilization of DSI as the online delivery tool. Other methods might include exit passes, essays, white boards.
1.1.1	Provide all staff with a common understanding of the meaning and utility of Formative Assessment.	Assessment Literacy		Percentage of teachers using DSI	Show this by school, classroom and CAS. Verified by DSI reports. NOTE: Teachers should use DSI at least 4 times per year so trend analyses can be done.
1.1.2	Use structured classroom observations/walkthroughs to ensure fidelity to the standards-based instructional process.	Induction and Mentoring Evaluation Sysyems		Percentage of teachers observed to use formative assessment for learning.	Show this by school, classroom and CAS
1.1.3	Adjust the volume or amount of resources as appropriate based on the needs identified by the leading indicators.	Aligned Planning		Percentage of benchmarks (for tested subjects) assessed using DSI	Show this by school, classroom and CAS (% of schools using the BSC as the AcFin planning tool)
1.1.4	Continue to ensure the rigor of the academic and proficiency standards of Hawaii's comprehensive assessment system and improve its suite of assessment tools.	Interim and Summative Assessments (Using DSI to Drive Classroom Instruction) Assessment Literacy End of Course Exams		Percentage of students using new Summative, Interim, and Formative (DSI) assessment tools	NOTE: The technical development of the DSI tool needs to be combined with the Assessment Literacy effort.
1.1.5	Use Data Team process systemically, so formative assessment data, such as DSI data, are used to adjust instructional decisions.	Functional Data Analysis and Instructional Teams		% of teachers engaged in collaborative dialogue around data to refine instruction and school improvement (as reported by principals on qtrly progress reports)	
1.2 Improve schools and system through use of longitudinal data system dashboards.					
1.2.1	Provide leading and lagging indicators in dashboards for classrooms, schools, CAS and state level.	Longitudinal Data System			
1.2.2	All teachers, support staff and principals will have access to a user-friendly longitudinal data system to help them understand whether a student is succeeding in the classroom and what factors are leading to the student's success.	Longitudinal Data System Functional Data Analysis and Instructional Teams			
1.2.3	Use Smater Balance Consortium to develop summative assessments.	Interim and Summative Assessments (Assessment Literacy)			Should this strategy be under 1.3?
1.3 Use high quality standards, curriculum and materials.					

Strategies for Goal 1: ASSURE ALL STUDENTS GRADUATE COLLEGE- AND CAREER-READY THROUGH EFFECTIVE USE OF STANDARDS BASED EDUCATION

Objective	Strategy	Project	Sponsor	Leading Indicators	Comments
1.3.1	Establish DSI as an integral part of the curriculum development and learning management system.	Common Core Standards Implementation Using DSI to Drive Classroom Instruction Assessment Literacy (STEM Learning Strategy and Network)		7. % correlation between HSA scores and grades for tested subjects – by school and CAS (each semester)	
1.3.2	Tie High Quality College- and Career-Ready Standards and Assessments to a Statewide Curriculum.	College and Career Ready Diploma Implementation Common Core Standards Implementation			
1.3.3	Implement a thorough rollout plan for the K-12 CCSS in English Language Arts and Mathematics that includes statewide implementation of a consistent and high-quality Common Core Curriculum and aligned instructional materials and resources. Work towards including national standards for content areas beyond ELA and math.	Common Core Standards Implementation		% of teachers and administrators who report a increased level of understanding on the CCSS survey.	
1.3.4	Align high school graduation requirements and assessments with college-readiness requirements and state STEM goals, in cooperation with the UH System and private colleges and universities, coordinated by Hawaii's P-20 partnerships for education. Includes a three pathway diploma designation.	College and Career Ready Diploma Implementation STEM Learning Strategy and Network			
1.3.5	Analyze the capacity of schools to ensure equitable access to the internationally benchmarked expectations, standards, and graduation requirements, and develop a plan to act on those capacity gaps.	College and Career Ready Diploma Implementation			
1.3.6	Develop, identify, acquire, disseminate, and implement high-quality formative and interim/summative assessments aligned to Common Core Standards and Curriculum.	Interim and Summative Assessment End of Course Exams			
1.3.7	Develop/acquire and deliver high-quality professional development to support the transition to CCSS	Common Core Standards Implementation			
1.3.8	Redesign the CSSS framework to provide all schools with a problem-solving process with an array of interventions along a continuum of supports that increases in intensity, frequency, duration, individualization and specialization.	Continuum of Proactive Student Supports for Early Intervention & Prevention			

Strategies for Goal 1: ASSURE ALL STUDENTS GRADUATE COLLEGE- AND CAREER-READY THROUGH EFFECTIVE USE OF STANDARDS BASED EDUCATION

Objective Strategy	Project	Sponsor	Leading Indicators	Comments
1.4 Expand opportunities for rigorous Career and Technical Education programs of study within the pathways	*Career/Technical Expansion*			
1.4.1 Change stereotype of Career & technical education pathways				
1.4.2 Assess/survey of current state of CTE pathways				
1.4.3 Assess current resources (personnel & infrastructure)				
1.4.4 Leverage talent, resources & partnerships				
1.4.5 Streamline processes & increase accessibility/remove barriers				
1.4.6 Establish & maintain K-12/P-20 vertical alignment				
1.4.7 Involve principals & practitioners in program development				
1.4.8 Align CTE planning template with the balanced scorecard process.				
1.4.9 Define roles at each level of CTE planning/management (State, complex area, school).				
1.4.10 Create and maintain program to certify CTE teachers (goal 2?)				
1.4.11 Design & sustain quality over quantity (not every school needs to offer all pathways).				
1.4.12 Create practical systemic process for student internships.				
1.4.13 Provide the opportunity for graduates to earn hs credit, college credit & industry certification.				
1.4.14 Utilize technology to connect students to pathways at other schools.				
1.4.15 Provide specialized training for CTE coordinators & administrators (compliance, reporting, safety).				
1.4.16 Provide specialized tng for registrars & counselors				
1.4.17 Explore incentives for CTE teachers who graduate students with BOE HS diploma				
1.4.18 Integrate GLOs & senior projects				
1.4.19 Invite elementary teachers & principals to serve on senior project panels				
1.4.20 Identify master teachers at demonstration sites				
1.4.21 Define on-going sustained system of supports (training, reporting, accountability, quality)				

Go back to BSC

Projects for Goal 1: ASSURE ALL STUDENTS GRADUATE COLLEGE- AND CAREER-READY THROUGH EFFECTIVE USE OF STANDARDS BASED EDUCATION

Objective	Strategy	Project	Project Sponsor	Project Manager
1.3	1.3.2	Common Core Standards Implementation	Joyce Bellino	Clayton Kaninau
1.3	1.3.4	College and Career Ready Diploma Implementation	Joyce Bellino	Clayton Kaninau
1.3	1.3.1	STEM Learning Strategy and Network	Joyce Bellino	Derek Minakami
1.1	1.1.1	Assessment Literacy	Joyce Bellino	Monica Mann
1.1	1.1.5	Functional Data Analysis and Instruction Teams	Joyce Bellino	Monica Mann
1.1	1.1.4	Interim and Summative Assessments	Joyce Bellino	Cara Tanimura
1.1	1.1.4	End of Course assessments	Joyce Bellino	Cara Tanimura
1.2	1.2.1	Longitudinal Data System	David Wu	David Hawkins
1.2	1.2.2.1	HPERC and Research Symposium	Ronn Nozoe	Glenn Hamamura
1.4	1.4.1	*Career/Technical Education Expansion **	Joyce Bellino	Derek Minakami

* Non RTTT PMOC Projects

Go back to BSC

THE MISSION
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THE VISION
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BALANCED SCORECARD PERSPECTIVES
Customer
Financial
Internal Business Process
HR Learning and Growth

Strategic Objective 1: Engage legislators, leaders,, businesses, educators, and parents

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

Strategic Objective # 2: Effective teachers

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

Strategic Objective #3: Academic performance

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

Strategic Objective #4: Fundamental rethinking of design and delivery of education

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

Strategic Objective #5:

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

Strategic Objective #6:

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

Strategic Objective #7:

Key Lagging Indicators

Summary of leading indicators | Summary of project status indicators

Summary of Leading Indicators and Projects

KEY:

no data available	On target for all measures/dates	Off target for some measures/dates	Off target for significant # of measures/dates

Hawaii DOE

Aligned Planning (Academic and Financial Plan/Strategic Plan/Balanced Scorecard ("BSC")

Project Agreement

January 24, 2011

This project supports the following Department of Education Strategic Plan Goal(s):
(Check all that apply)

- ☒ **Goal 1 – Assure all students graduate college- and career-ready through effective use of standards-based education**
- ☐ **Goal 2 – Ensure and sustain a rich environment and culture for life-long learners**
- ☒ **Goal 3 – Continuously improve the effectiveness, efficiency, and responsiveness of the educational system**

This project supports the following DOE Strategic Plan Objectives:

Goal 1: Objective to improve schools and system through use of Longitudinal Data System Dashboards.

Goal 3: Objective to standardize practices based on data and research.

This project supports the following RTTT Assurances:

Aligned Systems Supporting Reform

Hawaii State Department of Education

***Aligned Planning* - Project Agreement**

1.0 Project Description

This project develops and implements for the Department of Education (HIDOE) a system of aligned tri-level strategic planning in a balanced scorecard (BSC) format. HIDOE will also implement project management process and tools required to operationalize and monitor the BSC. The BSC will include strategies and measures that delineate how the HIDOE will meet its mission, vision and goals. This plan defines the scope and steps necessary to implement the BSC and accompanying management processes.

2.0 Desired Results

(List the Desired Results of this Project below with proposed completion dates.)

	Desired Result	Completed
2.1	HIDOE uses a fully developed BSC that reflects its vision,mission, goals, strategies and key measures (leading & lagging indicators).	4/30/2011
2.2	The BSC process is used to regularly monitor leading indicators and adjust strategies and resources to ensure the lagging indicators are met.	6/30/2011
2.3	The BSC process is replicated and implemented at the state office, complex area, and school levels to ensure alignment of effort with HIDOE strategies and measures.	10/31/2011
2.4	HIDOE uses an accompanying project management oversight process at state levels for all major projects to ensure the strategies in the scorecards are implemented as planned.	1/31/2011
2.5	Project management oversight process is replicated at complex area- and school-level leadership.	12/31/2011

3.0 Project Deliverables

(List the Deliverables that this Project will produce below. These Deliverables need to achieve the Desired Outcomes listed above.)

	Deliverable	Due Date
3.1	Glossary of terms used in strategic planning/BSC and project management.	2/2011
3.2	Set of leading indicators for the State-level BSC	4/2011
3.3	Functional State-level BSC with leading and lagging indicators reflecting HIDOE strategies and key measures	4/2011
3.4	Online tool for use by SPOC to monitor BSC measures.	8/2011
3.5	MS Sharepoint site supporting project management efforts.	2/2011
3.6	BSC training materials	2/2011

3.7	BSC/project management training for state office leadership	8/2011
3.8	BSC/project management training for complex area-level leadership	6/2011
3.9	BSC/project management training for school-level leadership	9/2011
3.10	Functioning state office-level BSC's	10/2011
3.11	Functioning CA-level BSC's	8/2011
3.12	Functioning school-level BSC's	1/2012
3.13	State office-level implementation of PMOC process.	12/2011
3.14	Complex area-level implementation of PMOC process	10/2011
3.15	School-level implementation of PMOC process	1/2012

4.0 Project Organization (*Append an Organization Chart if appropriate.)*

Role	Description	Staff Assigned
Project Sponsor (member of Executive Staff)	Has ultimate authority over and responsibility for the project, its scope, and deliverables.	Ronn Nozoe
Project Manager	Develops and maintains the project plan and project schedules, executes project reviews, tracks and disposes of issues and change requests, manages the budget, and is responsible for overall quality of the deliverables.	Peter Kawamura
Project Team	Are responsible for performing the activities necessary for implementation of the project.	Darrel Nekoba, SRS Blayne Iwata, Data Governance Joan Funamura, SRS
Key Stakeholders	Provide expert understanding of their organization and represent area for which the project is intended to support/serve.	State-level leadership Complex-area Superintendents Principals OFS Jerry Wang, PM Accountability Framework OSR CELT

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Role	Description	Staff Assigned
		OITS Monica Mann Linda Kamiyama Clayton Kaninau Charlotte Unni, SRS Loretta Yee, Principal, Koko Head Elementary Gwen Yamanaka, FCPMO All RTTT PM's

5.0 Project Dependencies

(Identify any Project Deliverables or Tasks that depend on another Project Deliverable being completed prior to beginning. Be sure this is reflected in the Scope of Work schedule in Section 9.0. Also list any Dependencies upon other organizational projects or activities.)

Dependency (brief description)
State-level leadership sustains balanced scorecard process
Timely and accurate data from the LDS or other source(s)
Project managers able to determine measures of success of their projects

6.0 Project Assumptions

(Identify any assumptions in this Project Agreement that could significantly affect the Project depending on their outcome. Assess the Degree of Impact this will have on the Project as "High", "Medium" or "Low".)

Assumption (brief description)	**Degree of Impact**
Management at all levels has access to necessary data to develop BSC	High
Management at all levels willing to adopt BSC	Medium

7.0 Project Risks

(Identify any risks that might threaten the success of the Project, assess the degree of impact on the Project, and include a strategy for mitigating the risk.)

Risk (brief description)	**Degree of Impact**	**Mitigation Strategy**
LDS data integrity is compromised or suspect	High	Extract data manually/devise other indicators as necessary
Management personnel changes during process	Low	Create SOP's, training manuals to ensure continuity

8.0 Project Information Requirements

(List below any research data or documentation required by the Project.)

Research	Data	Documents
SWOT Analysis to determine best marketing strategy for BSC Research current BSC tools in use in other states	LDS data to create leading indicators (TBD)	

9.0 Project Scope of Work/Status Report

(The table on the next page can be used to record a detailed Project Workplan based on the Deliverables listed on page 2. While there are a number of more powerful project workplan management tools available, many projects can be well managed with the table that follows.)

Instructions:

- **Step I – Project Scope of Work** *(see the table on following page)*
  - List each of the Project's Deliverables on a separate page; copy the table onto additional pages to accommodate all of the Project's Deliverables.
  - Identify the detailed tasks and activities required to produce each Deliverable in the rows beneath the Deliverable.
  - For ***each*** task or activity, indicate the person responsible and the projected start and end dates. Additional rows can be added to the table if necessary.

- **Step II – Project Status Report** *(see the table on following page)*
  - The Project Manager is responsible for maintaining the Project Agreement and Project Status Report.
  - The Project Status Report should be updated weekly after Project Team meetings to:
    - Indicate the status of each activity and the actual completion dates.
    - Identify any issues that the project is dealing with in the rows at the bottom of the table along with a plan for resolving them.
  - The status report is to be submitted to the Sponsor and the PMOC at review meetings to indicate work completed since the last review.

Hawaii State Department of Education

***Aligned Planning* - Project Agreement**

Date: 01/03/2011

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
1.0	**Glossary of terms used in strategic planning/BSC and Project Management**					
1.1	Review of current materials used for state-level BSC training and implementation	Project Team	1/3/11	1/14/11	100%	1/7/11
1.2	Training of project team members on BSC/SPOC process	P. Kawamura	1/10/11	1/21/11	100%	2/3/11
1.3	Form questions/request clarification based on review	Project Team	1/18/11	1/21/11	100%	2/10/11
1.4	Consult with CELT to provide clarification of team questions	Project Team	1/24/11	1/28/11	100%	2/24/11
1.5	Revise current training materials as based on CELT consultation	P. Kawamura	1/31/11	2/4/11	100%	2/28/11
1.6	Project sponsor review of revised materials	R. Nozoe	2/4/11	2/11/11	100%	3/4/11
1.7	Project sponsor approval of revised materials	R. Nozoe	2/11/11	2/11/11	100%	3/4/11
1.8	Soft copy of glossary created	P. Kawamura	2/11/11	2/12/11	100%	3/4/11

Item #	**Issue(s)**	**Date Presented**	**Resolution**	**Date Resolved**

Hawaii State Department of Education

***Aligned Planning* - Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
2.0	**Set of leading indicators for the State-level BSC**					
2.1	Review current version of balanced scorecard as of 12/21/2010	Project Team	1/10/11	1/14/11	100%	
2.2	Determine if current lagging indicators are feasible/measureable	Project Team	1/18/11	1/21/11	100%	
2.3	Consult with all PM's to determine leading indicators based on current project plans	Project Team	1/21/11	2/4/11	100%	
2.4	Justification from PM's why selected indicators are appropriate measures for their projects	Project Team	1/21/11	2/4/11	N/A	
2.5	Consult with appropriate agency (OITS, OHR, etc.) to determine if data needed based on PM discussions is available	Project Team	2/7/11	2/11/11	N/A	
2.6	Determine feasibility of leading indicators based on current available data	Project Team	2/14/11	2/25/11	N/A	
2.7	Determine feasibility of leading indicators based on timeliness of available data	Project Team	2/14/11	2/25/11	N/A	
2.8	Reconvene with PM's as necessary to revise leading indicators	Project Team	2/28/11	3/4/11	N/A	
2.9	Consult with appropriate agency to determine frequency with which these indicators can/will be updated	Project Team	2/28/11	3/4/11	N/A	
2.10	Compile list of leading indicators for Leadership review/adoption	D. Nekoba	3/7/11	3/9/11	N/A	
2.11	Review list of indicators with PM's and receive their approval	Project Team	3/9/11	3/15/11	N/A	
2.12	Review list of indicators with Project Sponsor	R. Nozoe	3/15/11	3/15/11	N/A	
2.13	Approval of indicator list by Project Sponsor	R. Nozoe	3/15/11	3/18/11	N/A	

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		Submitted by: Peter Kawamura				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
2.0	**Set of leading indicators for the State-level BSC (cont.)**					
2.14	Leadership meeting to review all indicators for state-level balanced scorecard	Leadership	4/6/11	4/6/11		
2.15	Leadership team approval of balanced scorecard indicators	Leadership	4/6/11	4/6/11		
2.16	Update balanced scorecard to reflect all leading and lagging indicators approved by Leadership team	D. Nekoba	4/6/11	4/8/11		

Item #	**Issue(s)**	**Date Presented**	**Resolution**	**Date Resolved**
2.4 – 2.13	Project managers did not work on balanced scorecard indicators	N/A	Indicators worked on by DOE Leadership and project team members	

Hawaii State Department of Education

Aligned Planning – Project Agreement

Project Scope of Work/Status Report						
Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
3.0	**Functional State-level BSC with leading and lagging indicators reflecting HIDOE strategies and key measures**					
3.1	Create procedures with appropriate agency (OITS, OHR, etc.) to update indicators	D. Nekoba	3/4/11	3/11/11	0%	
3.2	Schedule update cycle to determine when indicators will be updated	D. Nekoba	3/4/11	3/18/11	0%	
3.3	Receive Leadership team approval balanced scorecard based on 2.14	Project Team	4/6/11	4/6/11	0%	
3.4	Planning meeting to create interim visual representation of BSC (pending online tool)	Project Team	4/8/11	4/8/11		
3.5	Agreement on interim BSC	Project Team	4/8/11	4/8/11		
3.6	Mock-up of interim BSC	D. Nekoba	4/8/11	4/15/11		
3.7	Approval of interim BSC by Project Sponsor	R. Nozoe	4/15/11	4/20/11		
3.8	Submission of interim BSC to SPOC	R. Nozoe/P. Kawamura	4/25/11	4/25/11		
3.9	Approval of interim BSC by SPOC	SPOC	4/25/11	4/25/11		
3.10	Submission of interim BSC to Leadership Team	R. Nozoe/P. Kawamura	5/4/11	5/4/11		
3.11	Approval of interim BSC by Leadership Team	Leadership	5/4/11	5/4/11		
3.12	Quarterly update of interim BSC	D. Nekoba	7/5/11	7/8/11		
3.13	Quarterly review of BSC by SPOC	SPOC	7/11/11	7/11/11		
3.14	Quarterly review of BSC by Leadership Team	Leadership	7/13/11	7/13/11		

Hawaii State Department of Education

***Aligned Planning* - Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		Submitted by: Peter Kawamura				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
3.0	**Functional State-level BSC with leading and lagging indicators reflecting HIDOE strategies and key measures (cont.)**					

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
3.1 – 3.3	State-level BSC needed before determination can be made regarding frequency of updates and procedures to update	3/24/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		Submitted by: Peter Kawamura				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
4.0	**Online tool for use by SPOC to monitor BSC measures**					
4.1	Research of procurement procedures	P. Kawamura	1/19/11	1/29/11	100%	2/18/11
4.2	Planning meeting to determine specifications for online BSC tool	Project Team	2/7/11	2/7/11	100%	1/31/11
4.3	Finalized list of specifications for online BSC tool	Project Team	2/7/11	2/11/11	100%	2/10/11
4.4	Review of specifications with Project Sponsor	R. Nozoe	2/14/11	2/18/11	0%	
4.5	Approval of specifications by Project Sponsor	R. Nozoe	2/18/11	2/18/11	0%	
4.6	Research BSC online tools currently used by other states	B. Iwata	2/14/11	2/25/11	100%	2/28/11
4.7	Research BSC off-the-shelf online tools	P. Kawamura	2/14/11	2/25/11	100%	2/28/11
4.8	Review possibility of using MS Office suite instead of purchasing BSC program	P. Kawamura	2/14/11	2/25/11	100%	2/28/11
4.9	Determination if RFP is necessary based on specifications and available products	P. Kawamura	2/14/11	2/25/11	50%	
4.10	Meeting with TARC to determine feasibility of online tool options	B. Iwata	2/14/11	2/25/11	0%	
4.11	Team meeting to review findings of BSC tool research and TARC meeting to identify desired features	Project Team	3/1/11	3/1/11	0%	
4.12	Preliminary team recommendation for online tool	Project Team	3/1/11	3/1/11	0%	
4.13	Discussion with TARC about installation of online tool selection	B. Iwata	3/1/11	3/11/11	0%	
4.14	Receive TARC affirmation tool selected is compatible with current systems	B. Iwata	3/1/11	3/25/11	0%	
4.15	Project team recommendation for online tool	Project Team	3/28/11	4/1/11	0%	
4.16	Project sponsor review of team recommendation	R. Nozoe	4/4/11	4/8/11	0%	

Project Scope of Work/Status Report						
Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
4.0	**Online tool for use by SPOC to monitor BSC measures**					
4.17	Project sponsor approval of team recommendation	R. Nozoe	4/4/11	4/8/11		
4.18	SPOC review of team recommendation	SPOC	4/13/11	4/13/11		
4.19	SPOC approval of team recommendation	SPOC	4/13/11	4/13/11		
4.20	Procurement of online BSC tool	Procurement	7/1/11	7/1/11		
4.19a	If RFP is necessary, draft RFP for online tool	P. Kawamura	4/13/11	4/20/11		
4.20a	Procurement review of draft RFP	Procurement	4/20/11	5/4/11		
4.21a	Finalize RFP based on Procurement comments	P. Kawamura	5/5/11	5/13/11		
4.22a	Project sponsor review of RFP	R. Nozoe	5/16/11	5/20/11		
4.23a	Project sponsor approval of RFP	R. Nozoe	5/16/11	5/20/11		
4.24a	Post RFP	P. Kawamura	5/23/11	5/27/11		
4.25a	Creation of panel to review RFP responses	P. Kawamura	5/16/11	5/27/11		
4.26a	Receive RFP responses	Project Team	5/23/11	6/6/11		
4.27a	Review of RFP responses	Review Panel	6/6/11	6/10/11		
4.28a	Selected vendor presentations	Review Panel	6/20/11	6/24/11		
4.29a	Recommendation by review panel for vendor	Review Panel	6/24/11	7/1/11		
4.30a	Review of recommendation by Project sponsor	R. Nozoe	7/1/11	7/8/11		
4.31a	Project sponsor approval of recommendation	R. Nozoe	7/1/11	7/8/11		
4.32a	Vendors notified of panel recommendation	P. Kawamura	7/11/11	7/11/11		
4.33a	Draft vendor contract created	P. Kawamura	7/21/11	7/22/11		
4.34a	Procurement review of vendor contract	Procurement	7/21/11	8/4/11		

Hawaii State Department of Education

***Aligned Planning* - Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		Submitted by: Peter Kawamura				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
4.0	**Online tool for use by SPOC to monitor BSC measures (cont.)**					
4.35a	Procurement approval of vendor contract	Procurement	7/22/11	8/4/11		
4.36a	Project sponsor approval of vendor contract	R. Nozoe	8/4/11	8/11/11		
4.37a	Project sponsor sign-off of vendor contract	R. Nozoe	8/4/11	8/11/11		
4.38a	Contract presented to vendor for sign-off	R. Nozoe/P. Kawamura	8/5/11	8/5/11		
	If RFP is **not** necessary					
4.19b	Prepare procurement documentation	P. Kawamura	4/13/11	4/20/11		
4.20b	Project sponsor documentation review	R. Nozoe	4/20/11	4/27/11		
4.21b	Project sponsor documentation sign-off	R. Nozoe	4/20/11	4/27/11		
4.22b	Submission of signed documentation to Procurement office	P. Kawamura	4/28/11	4/28/11		
4.23b	Procurement approval of documentation	Procurement	4/28/11	5/12/11		
4.24b	Purchase of online BSC tool	Procurement/P. Kawamura	5/13/11	5/20/11		

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
4.4	Project scope has not been fully determined so search for BSC tool has not progressed	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		Submitted by: Peter Kawamura				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
5.0	**MS SharePoint site supporting project management efforts**					
5.1	Request creation of SharePoint site for RTTT project management efforts from ISSB	R. Campbell/C. Craig	9/20/10	9/30/10	100%	9/25/10
5.2	Assignment of administrator for RTTT SharePoint site	R. Campbell	9/20/10	9/20/10	100%	9/20/10
5.3	SharePoint administrator training	P. Kawamura/G. Yamanaka	10/19/10	10/19/10	100%	10/19/10
5.4	Creation of SharePoint access guide	P. Kawamura/G. Yamanaka	10/20/10	10/31/10	100%	10/20/10
5.5	Determination of personnel receiving access	RTTT Implementation Team	9/20/10	12/31/10	100%	1/31/11
5.6	Determination of levels of personnel access	RTTT Implementation Team	9/20/10	12/31/10	100%	1/31/11
5.7	SharePoint training for RTTT personnel	P. Kawamura/G. Yamanaka	1/3/11	1/31/11	100%	2/14/11
5.8	SharePoint training for SPOC members	P. Kawamura/G. Yamanaka	1/3/11	1/31/11	100%	2/14/11
5.9	SharePoint training for PM's	P. Kawamura/G. Yamanaka	1/3/11	1/31/11	100%	2/23/11

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Item #	Issue(s)	Date Presented	Resolution	Date Resolved

Hawaii State Department of Education

***Aligned Planning* - Project Agreement**

Project Scope of Work/Status Report						
Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
6.0	**BSC Training Materials**					
6.1	Review of CELT materials	Project Team	1/17/11	1/31/11	100%	1/14/11
6.2	Review of BSC materials available commercially/online	Project Team	1/17/11	1/31/11	100%	1/27/11
6.3	List of clarifying questions for CELT	P. Kawamura	1/31/11	2/5/11	100%	1/31/11
6.4	Draft training booklet crafted	P. Kawamura	2/5/11	2/12/11	100%	1/31/11
6.5	Draft .ppt presentation created	P. Kawamura	2/5/11	2/12/11	100%	1/31/11
6.6	Review of training booklet	R. Nozoe/Project team	2/12/11	2/19/11	100%	1/31/11
6.7	Review of .ppt presentation	R. Nozoe/Project team	2/12/11	2/19/11	100%	1/31/11
6.8	Final training booklet (soft copy)	P. Kawamura	2/19/11	2/26/11	100%	1/31/11
6.9	Final .ppt presentation (soft copy)	P. Kawamura	2/19/11	2/26/11	100%	1/31/11

Item #	**Issue(s)**	**Date Presented**	**Resolution**	**Date Resolved**

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
7.0	**BSC/Project management training for state-office leadership**					
7.1	Create an agenda for the training session.	Aligned Planning Team	7/2011	8/2011		
7.2	Build your contacts with all State Level Assistant Superintendants/Directors	Aligned Planning Team	6/2011	8/2011		
7.2.1	Get Buy-in and setup training times and venue to train state office employees	AP Team	6/2011	8/2011		
7.2.2	Setup registration for employees using PDE3 or other tools	AP Team	7/2011	8/2011		
7.3	Create a PowerPoint presentation geared towards user's need (Should include history/background, what the BSC is, etc)	AP Team	7/2011	8/2011		
7.4	Create training session Evaluation	J. Funamura	7/2011	8/2011		
7.5	Milestone: Plan/Practice training presentation and session	AP Team	7/2011	8/2011		
7.5.1	Ensure users have access to username/passwords, computers and available space in training center. Will refreshments be provided?	AP Team	7/2011	8/2011		
7.5.2	Setup control group to practice training.	AP Team	7/2011	8/2011		
7.6	Training session – At least 2 trainers present (depending on size of training session)	AP Team	8/2011	9/2011		
7.6.1	Gather input from the field on how what changes will be useful	J. Funamura	8/2011	9/2011		
7.6.2	User evaluation of training session	AP Team	8/2011	9/2011		
7.7	Reflection	AP Team	9/2011	9/2011		

7.7.1	What went right and wrong? How can we improve?		9/2011	9/2011		

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
7.1	Training sessions to be determined once scope of project is defined	2/7/11		

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
8.0	**BSC/project management training for complex area-level leadership**					
8.1	identify training outcomes--including expectations for application, milestones	B. Iwata	6/2011	8/2011		
8.2	identify training audience	AP Team	6/2011	8/2011		
8.3	develop pre-assessment: current practice, level of knowledge	AP Team	9/2011	10/2011		
8.4	create training timeline/schedule	B. Iwata	9/2011	10/2011		
8.5	administer pre-assessment; analyze information; develop training agenda	AP Team	9/2011	10/2011		
8.6	identify training facilitators	AP Team	9/2011	10/2011		
8.7	develop team, process for provision of on-going support for application by complex area leadership	AP Team	9/2011	10/2011		
8.8	identify conections/overlaps to current practice: e.g. Academic Plan development process	AP Team	9/2011	10/2011		
8.9	develop training evaluation	AP Team	9/2011	10/2011		
8.10	establish assessment time/ process--to reflect on what worked/issues/next steps to adjust training as needed	AP Team	9/2011	10/2011		
8.11	develop communication system: FAQs, website, document repository	AP Team	6/2011	10/2011		
8.12	identify training outcomes--including expectations for application, milestones	AP Team	8/2011	10/2011		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
8.1	Training sessions to be determined once scope of project is defined	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
9.0	**BSC/Project management training for school-level leadership**					
9.1	Design BSC/Project management training module(s) (powerpoint geared towards user's needs)	D. Nekoba	10/2011	12/2011		
9.1.1	Create training session evaluation	D. Nekoba	10/2011	12/2011		
9.1.2	Create an agenda for training sessions	D. Nekoba	11/2011	12/2011		
9.2	Conduct informational sessions begin get buy-in and to roll out BSC/Project management training	AP Team	11/2011	12/2011		
9.3	Set up registration for employees using PDE3 or other tools	AP Team	11/2011	12/2011		
9.3.1	Schedule school-level BSC/Project management training	AP Team	10/2011	12/2011		
9.4	Identify lead team to receive training	AP Team	10/2011	12/2011		
9.5	Conduct BSC/Project management training	AP Team	11/2011	12/2011		
9.6	Collect input via evaluations or training comments/feedback/questions	AP Team	12/2011	12/2011		
9.7	Design follow up/info sessions as needed based on input/feedback/questions that arise from initial training sessions	AP Team	12/2011	1/2012		
9.7.1	Set up follow up training/info sessions as necessary	D. Nekoba	12/2011	1/2012		
9.8	Conduct follow up/info session as necessary	AP Team	1/2012	1/2012		
9.9	Plan school-level presentation from BSC/Project management training	AP Team	1/2012	1/2012		
9.10	Conduct school-level BSC/Project management training	AP Team	1/2012	1/2012		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
9.1	Training sessions to be determined once scope of project is defined	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
10.0	**Functioning state office-level BSC's**					
10.1	Identify Data Requirements	B. Iwata	2/2011	4/2011		
10.1.1	Identify Data Inputs	B. Iwata	2/2011	4/2011		
10.1.2	Identify Desired Outputs	B. Iwata	2/2011	4/2011		
10.2	Identify System Requirements	B. Iwata	3/2011	4/2011		
10.2.1	Hardware Requirements	B. Iwata	3/2011	4/2011		
10.2.2	Software Requirements	B. Iwata	3/2011	4/2011		
10.3	Software Tool	B. Iwata	3/2011	5/2011		
10.3.1	Design/Modification Tools	B. Iwata	3/2011	5/2011		
10.3.2	Authentication Security	B. Iwata	4/2011	5/2011		
10.4	Server Farm	B. Iwata	4/2011	5/2011		
10.5	Identify Users	B. Iwata	4/2011	5/2011		
10.5.1	Authentication Process	B. Iwata	4/2011	5/2011		
10.6	Submit RFI (If applicable)	AP Team	4/2011	6/2011		
10.7	Submit RFP (If applicable)	AP Team	4/2011	6/2011		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
10.0	**Functioning state office-level BSC's (cont.)**					
10.8	Milestone: Implement BSC	AP Team	5/2011	6/2011		
10.9	Review, Test and Evaluate Tool	AP Team	6/2011	6/2011		
10.10	User Manual	B. Iwata	5/2011	6/2011		
10.11	Implement Management Tool	AP Team	5/2011	7/2011		
10.11.1	Review, Test and Evaluate Tool	AP Team	5/2011	7/2011		
10.12	User Manual	B. Iwata	5/2011	7/2011		
10.13	FAQs	B. Iwata	6/2011	7/2011		
10.14	Setup/Train CSD	B. Iwata	6/2011	7/2011		

Item #	**Issue(s)**	**Date Presented**	**Resolution**	**Date Resolved**
10.1	Dependent on creation of state-level BSC	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report						
Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
11.0	**Functioning CA-level BSC's**					
11.1	identify criteria/measures --what defines "functioning" BSCs?	AP Team	5/2011	6/2011		
11.2	develop implementation milestones--using data to assess progress; adjusting as needed	AP Team	5/2011	6/2011		
11.3	build on current self-assessment practices--data we use to tell us "where we are" in relation to where we are going--strengths, needs	AP Team	5/2011	6/2011		
11.4	identify leading and lagging indicators to assess progress	AP Team	5/2011	7/2011		
11.5	establish implementation timeline and/or continuum which includes formative & summative assessment periods	AP Team	6/2011	7/2011		
11.6	establish reporting/communication system to communicate progress to complex area stakeholders	AP Team	6/2011	7/2011		
11.7	establish any implementation non-negotiables--products, processes, strategies; i.e. what level of consistency is needed to system success?	AP Team	6/2011	8/2011		
11.8	develop on-going support system for complex areas	J. Funamura	7/2011	8/2011		
11.9	provide menu of data analysis protocols for complex area use--based on purpose/users	J. Funamura	7/2011	8/2011		
11.10	establish process for inclusion of CA stakeholders in BSC development, monitoring, adjustment, evaluation	J. Funamura	7/2011	8/2011		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
11.1	Dependent on creation of state-level BSC	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
12.0	**Functioning school-level BSC's**					
12.1	Develop a common process/protocol for school-level teams to conduct a Comprehensive Needs Assessment (CNA)	J. Funamura	6/2011	8/2011		
12.2	Provide training to school-level teams for implementation of CNA process/protocol	AP Team	6/2011	8/2011		
12.3	Provide data collection (multiple measures) and analysis training to school-level teams	AP Team	6/2011	8/2011		
12.4	Provide training for school-level teams to convert CNA data into a school profile	AP Team	7/2011	8/2011		
12.5	Provide training for school-level teams on developing a protocol based professional learning community	AP Team	7/2011	8/2011		
12.6	Conduct a CNA to collect and analyze multiple measures of school data	AP Team	8/2011	10/2011		
12.7	Convert CNA into a school profile	AP Team	9/2011	10/2011		
12.8	Determine school's current make up and status via the school's profile	AP Team	9/2011	10/2011		
12.9	Use CNA results to identify key Goals and Objectives	J. Funamura	9/2011	11/2011		
12.10	Prioritize strategies to address Goals and Objectives	AP Team	10/2011	11/2011		
12.11	Translate/incorporate key Objectives into school Mission Statement	AP Team	10/2011	11/2011		
12.12	Translate/incorporate key Goals into school Vision Statement	AP Team	11/2011	11/2011		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report						
Aligned Planning		**Submitted by: Peter Kawamura**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
12.0	**Functioning school-level BSC's (cont.)**					
12.13	Utilize the Academic and Financial Plan framework to document Objectives, School Strategies, Projects (Enabling Activities), Measures, Baselines, and Targets (Initial and Intermediate Outcomes) targeted Strategies and meaningful projects	AP Team	11/2011	12/2011		
12.14	Identify monitoring/assessment tools to assess progress of Leading Indicators (DSI, LDS, HSA)	AP Team	11/2011	12/2011		

Item #	**Issue(s)**	**Date Presented**	**Resolution**	**Date Resolved**
12.1	Dependent on creation of state-level BSC	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning	**Submitted by: Peter Kawamura**

Item #	Deliverable, Tasks, and Activities	Responsible Person	Start Date	Projected End Date	Status (%complete)	Actual Completion Date
13.0	**State office-level implementation of PMOC process**					
13.1	Identify PMOC requirements	AP Team	5/2011	7/2011		
13.2	Set Key Reporting Dates	AP Team	5/2011	7/2011		
13.2	Identify PMOC Users of BSC	AP Team	5/2011	7/2011		
13.3.1	Setup Authentication of PMOC into BSC System	AP Team	6/2011	8/2011		
13.4	Analyze Any tools need for PMOC Use (If applicable)	AP Team	4/2011	4/2011		
13.4.1	Issue RFI for PMOC Tools	AP Team	5/2011	8/2011		
13.4.2	Issue RFP for PMOC Tools	AP Team	5/2011	8/2011		
13.5	Implement Tools	B. Iwata	8/2011	9/2011		
13.6	Test, Review and Evaluate Tools	AP Team	8/2011	9/2011		
13.7	Create User Documentations for PMOC	AP Team	9/2011	10/2011		
13.7.1	FAQs	B. Iwata	9/2011	10/2011		
13.7.2	Cheat sheets	B. Iwata	9/2011	10/2011		
13.7.3	Powerpoint Slides	B. Iwata	9/2011	10/2011		
13.8	Train/Demonstration BSC to PMOC	AP Team	10/2011	10/2011		
13.9	Get Feedback from PMOC	AP Team	10/2011	10/2011		

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
13.1	Dependent on creation of state-level BSC	2/7/11		

Hawaii State Department of Education

***Aligned Planning* – Project Agreement**

Project Scope of Work/Status Report

Aligned Planning		Submitted by: Peter Kawamura				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (%complete)**	**Actual Completion Date**
14.0	**Complex area-level implementation of PMOC process**					
14.1	Establish timeline for implementation	AP Team	5/2011	7/2011		
14.2	Gather information from CA leadership	AP Team	5/2011	7/2011		
14.3	Identify PMOC Users of BSC	AP Team	5/2011	7/2011		
14.3.1	Setup Authentication of PMOC into BSC System	AP Team	6/2011	8/2011		
14.4	Analyze Any tools need for PMOC Use (If applicable)	AP Team	4/2011	4/2011		
14.4.1	Issue RFI for PMOC Tools	AP Team	5/2011	8/2011		
14.4.2	Issue RFP for PMOC Tools	AP Team	5/2011	8/2011		
14.5	Implement Tools	B. Iwata	8/2011	9/2011		
14.6	Test, Review and Evaluate Tools	AP Team	8/2011	9/2011		
14.7	Create User Documentations for PMOC	AP Team	9/2011	10/2011		
14.7.1	FAQs	B. Iwata	9/2011	10/2011		
14.7.2	Cheat sheets	B. Iwata	9/2011	10/2011		
14.7.3	Powerpoint Slides	B. Iwata	9/2011	10/2011		
14.8	Train/Demonstration BSC to PMOC	AP Team	10/2011	10/2011		
14.9	Get Feedback from PMOC	AP Team	10/2011	10/2011		

Item #	Issue(s)	Date Presented	Resolution	Date Resolved
14.1	Dependent on creation of state-level BSC before process can be replicated @ CA-level	2/7/11		

10.0 Project Budget Summary

(The budget and costs reflected in the Project Plan should account for all resource labor, hardware, software, facilities, etc. required to achieve the stated scope and objectives. If the organization has a standard budget template, that can be used instead.)

	Budget Categories	2010-2011 Fiscal Year	2011-2012 Fiscal Year	2012-2013 Fiscal Year
a	Internal Resource Labor: *(estimate the number of hours that will be required to complete the project for the following types of personnel.)*			
	Executive Leadership	120 Hours	40 Hours	40 Hours
	District Area Management	120 Hours	40 Hours	40 Hours
	School Administration	90 Hours	40 Hours	40 Hours
	Classroom Personnel			
b	External (Contract) Resource Costs: *List provider(s) / amount(s) Ex: Transcend / $35,000			
c	Materials and Supplies: *(please list)*	BSC Software:$2000		
d	Project Expenses: *(i.e., travel, registration fees, etc.)*	Travel (training):$2000		
e	Training: *(please list)*			
f	Other: *(please list)*			
	TOTAL *(sum rows b-f)*			

Approved by: ______________________________ ***Date:*** ____________

11.0 Project Communications Plan

(Use the table below to record the project communications plan: what needs to be communicated, when, and to whom.)

Audience	Key Message	Desired Outcome	Date to Issue Communication	Method of Communication	Person Responsible for the Communication	Status
Project Team Members	External news that may affect project	Team members notified of any scope changes/pertinent news	Monthly, more frequently if necessary	Teleconference, E-mail	Project Manager	
Project Team Members	Project status updates	Team members updated on open/upcoming project items	Weekly, more frequently if necessary	Teleconference, E-mail	Project Team	
Project Sponsor	Project status updates	Project sponsor updated on open/upcoming project items	Bi-weekly, more frequently if necessary	Live meeting, Teleconference, E-mail	Project Manager	
SPOC	Update on key milestones	SPOC kept apprised of key milestones, any issues escalated by Project Sponsor	Quarterly, more frequently if necessary	Live meeting, Teleconference, E-mail	Project Manager/Project Sponsor	
HIDOE Staff	Updates about BSC/SPOC process	Reinforce concept, familiarity of terms prior to training sessions	Monthly	Newsletter, Webpage	B. Iwata	
Stakeholders	Project status updates	Stakeholders updated on progress of project; requests for information from stakeholders as needed	Monthly, more frequently if necessary	E-mail	Project Manager	

12.0 Team Member Signatures

(Hold a review of the project plan with the team members and obtain their agreement to participate. Each team member's signature represents his or her agreement to participate in this effort.)

TEAM MEMBER - AGREEMENT TO PARTICIPATE					
NAME	ORGANIZATION	PROJECT ROLE	LEVEL OF EFFORT	SIGNATURE	DATE

13.0 Revision History

(Any changes to the information in this document must be itemized below. To validate the change, signature approval must be obtained. Repeat table for each change cycle.)

Revision Date:		
Description of Change:		
Signature Approval of Change		
Organization / Rep	**Signature**	**Date**
Executive Sponsor:		
Project Manager:		
PMO, Director:		
IT Officer:		

Team Member - Approval of Change		
Organization / Rep	**Signature**	**Date**

14.0 Project Directory

(Use the table below to record the names and contact information of all members of the Project Team.)

Name	Address	Phone	Email
Peter Kawamura	FCPMO	586-5367 (w) 349-3395 (c)	Peter_kawamura@notes.k12.hi.us
Joan Funamura			
Blayne Iwata			
Darrell Nekoba			

Hawaii Department of Education

Accountability Framework

Project Agreement

December 2010

This project supports the following
Department of Education Strategic Plan Goal(s):
(Check all that apply)

- ☐ **Goal 1 –** Assure all students graduate college- and career-ready through effective use of standards-based education
- ☐ **Goal 2 –** Ensure and sustain a rich environment and culture for life-long learners
- ☒ **Goal 3 –** Continuously improve the effectiveness, efficiency, and responsiveness of the educational system

This project supports the following DOE Strategic Plan Objectives:

Continuously improve the effectiveness, efficiency, and responsiveness of the educational system.

This project supports the following RTTT Assurances:

Aligned Systems Supporting Reform

1.0 Project Description

This project creates an accountability framework that will provide a transparent evaluation system on Race to the Top (RTTT) and other Education Reform Agenda activities. The framework includes internal and external evaluations. Additionally, this project creates an evaluation framework providing guidelines and methodology to design program evaluations for RTTT and other Education Reform Agenda activities.

2.0 Desired Results

(List the Desired Results of this Project below with proposed completion dates.)

Desired Results		Completed
2.1	Regularly updated information, e.g. quarterly reports, on evaluation activities related to Race to the Top initiatives.	Quarterly
2.2	To conduct appropriate evaluations that provide credible evidence of RTTT's implementation and impact.	Ongoing

3.0 Project Deliverables

(List the Deliverables that this Project will produce below. These Deliverables need to achieve the Desired Outcomes listed above.)

Deliverables		Date Due
3.1	Written agreement with SPOC on what is to be evaluated, including the projects and types of evaluation required.	02/2011
3.2	Develop Evaluation Framework.	02/2011
3.3	Request for proposal for external evaluation.	03/2011
3.4	Procure contract for external evaluation for Year 1.	07/2011
3.5	Verify/validate RTTT Evaluation Plan from external evaluator(s).	08/2011
3.6	Agreement on format and review process of the annual evaluation reports.	08/2011
3.7	Evaluation report template.	12/2011

4.0 Project Organization *(Append an Organization Chart if appropriate)*

Role	Description	Staff Assigned
Project Sponsor (member of Executive Staff)	Has ultimate authority over and responsibility for the project, its scope, and deliverables.	Ron Nozoe
Project Manager	Develops and maintains the project plan and project schedules, executes project reviews, tracks and disposes of issues and change requests, manages the budget, and is responsible for overall quality of the deliverables.	Jerry Wang
Project Team	Are responsible for performing the activities necessary for implementation of the project.	Clyde Igarashi, Donna Fujimoto-Saka, Keith Fukumoto, Cara Tanimura
Key Stakeholders	Provide expert understanding of their organization and represent area for which the project is intended to support/serve.	Keith Fukumoto, Dan Anderson, Aiko Oda, Lisa Watkins-Victorino, Kathy Au

5.0 Project Dependencies

(Identify any Project Deliverables or Tasks that depend on another Project Deliverable being completed prior to beginning. Be sure this is reflected in the Scope of Work schedule in Section 9.0. Also list any Dependencies upon other organizational projects or activities.)

Dependency (brief description)
Written agreement with SPOC on what is to be evaluated, including the projects and types of evaluation required.
Procurement process must be able to accommodate timelines for processing contracts.
Availability of timely and credible data from other Project Managers required to conduct evaluation.
Agreement with SPOC of the format for the annual report from Project Managers.

6.0 Project Assumptions

(Identify any assumptions in this Project Agreement that could significantly affect the Project depending on their outcome. Assess the Degree of Impact this will have on the Project as "High", "Medium" or "Low".)

Assumption (brief description)	**Degree of Impact**
Procurement contract process for external evaluator(s) needs to be executed in a timely manner.	High
Data collection system must be in place prior to evaluation begins.	High
RTTT activities, whenever possible, must be based on "best practices" supported by the latest information.	High
Project managers need to have a basic understanding of evaluation and play an important role in developing evaluation measures.	High
Project managers need to provide evaluation data in a timely manner.	High
Evaluation is an essential component of the RTTT project. The implementation of evaluation activities need support and direction from SPOC.	High

7.0 Project Risks

(Identify any risks that might threaten the success of the Project, assess the degree of impact on the Project, and include a strategy for mitigating the risk.)

Risk (brief description)	Degree of Impact	Mitigation Strategy
Personnel mobility	Moderate	Speed up recruitment process and retain existing staff
Evaluation needs to be built into projects as early as possible or there is a moderate to high risk that the results of the evaluation will not be credible or useful to project sponsors and managers.	Moderate-High	1. Develop an evaluation framework to help guide RTTT evaluations. 2. Develop a training session for project managers on how to build an evaluation plan.
Sufficient Personnel	Moderate	1. Expand resources by contracting additional personnel. 2. Evaluation consultation must be provided to PMs to ensure data collection and evaluation methodology are sound and feasible.

8.0 Project Information Requirements

(List below any research data or documentation required by the Project.)

Research	Data	Documents
All leading and lagging indicators need to be completed in the balanced scorecard.	A system needs to be created so all staff involved (esp. project managers) can gain access to the information.	Evaluation plan needs to be based upon verified indicators stated in the balanced scorecard.

9.0 Detailed Scope of Work/Project Status Report

(The table on the next page can be used to record a Detailed Project Workplan based on the Deliverables listed on page 2. While there are a number of more powerful project workplan management tools available, many projects can be well managed with the table that follows.)

Instructions:

- **Step I – Detailed Scope of Work** *(see the table on following page)*
  - List each of the Project's Deliverables on a separate page; copy the table onto additional pages to accommodate all of the Project's Deliverables.
  - Identify the detailed tasks and activities required to produce each Deliverable in the rows beneath the Deliverable.
  - For ***each*** task or activity, indicate the person responsible and the projected start and end dates. Additional rows can be added to the table if necessary.

- **Step II – Project Status Report** *(see the table on following page)*
  - The Project Manager is responsible for maintaining the Project Agreement and Project Status Report.
  - The Project Status Report should be updated weekly after Project Team meetings to:
    - Indicate the status of each activity and the actual completion dates.
    - Identify any issues that the project is dealing with in the rows at the bottom of the table along with a plan for resolving them.
  - The status report is to be submitted to the Sponsor and the PMOC at review meetings to indicate work completed since the last review.

Detailed Scope of Work/Project Status Report						
Project Portfolio: Accountability and Issue Resolution **Name of Project: Accountability Framework** **Race to the Top Section: A(2) Pg27; A(2) Pg 28; A(3) Pg 43; E(2) Pg 176**		**Submitted by: Jerry Wang**				
Item #	**Deliverable, Tasks, and Activities**	**Responsible Person**	**Start Date**	**Projected End Date**	**Status (% complete)**	**Actual Completion Date**
1.0	**Develop Stakeholder Groups**					
1.1	Setting the framework for developing stakeholder group	Team	2/2011	7/2011		
1.1.1	Identify purpose of group and desired outcomes of group					
1.1.2	Identify the group process and tasks					
1.2	Membership lists	RN/Team	4/2011	7/2011		
1.2.1	Collect names/organization					
1.2.2	Develop selection/culling process					
1.2.3	Finalize list					
1.2.4	Confirm participants					
1.2.5	Get contact information					
1.3	Meeting schedule and protocols	RN/Team	6/2011	10/2011		
1.3.1	Secure meeting site					
1.3.2	Develop meeting schedule					
1.3.3	Develop meeting format (i.e., agenda, etc.)					
1.3.4	Identify roles (i.e., facilitator, recorder, etc.)					
1.3.5	Identify means of communication					
1.4	Convene stakeholder meetings	RN/Consultant	2/2011	Ongoing		
1.4.1	Critique/Improve evaluation plan	Team		Ongoing		
1.4.2	Provide feedback on to prioritize evaluation activities					

2.0	**RTTT Evaluation Plan**					
2.1	Written agreement with SPOC on what is to be evaluated, including the projects and types of evaluation required.	RN/Team	6/2011	Ongoing		
2.1.1	Assist Project Managers with development of their evaluation plan					
2.1.1.1	Provide evaluation overview training					
2.1.1.2	Assign PMs to SPIS evaluators					
2.1.1.3	PMs complete draft evaluation template					
2.1.1.4	SPIS evaluators review and provide feedback					
2.1.1.5	PMs finalize project evaluation plan					
2.1.2	Categorize projects based on complexity of evaluation required					
2.1.3	Assign evaluation projects to SPIS evaluators and to external evaluator					
2.1.4	Determine monitoring process (e.g., timelines, key submittal dates, meetings with PMs, etc.)					
2.2	Develop evaluation framework	RN/Team	11/2010	2/2011	80%	
2.2.1	Create PowerPoint presentation		1/2011	3/2011		
2.3	Procure contract for external evaluation for year 1.	RN/Team	2/2011	7/2011		
2.3.1	Develop draft	RN/Team/ Procurement	2/2011	3/2011		
2.3.2	Meet with procurement to review draft					
2.3.3	Share draft with sponsor/SPOC for approval					
2.3.4	Identify contract administrator					
2.3.5	Announce RFP					
2.3.6	Convene selection committee					
2.3.7	Award contract	RN/Team	3/2011	7/2011		
2.3.8	Meet with contractor					
2.4	Verify/validate RTTT evaluation plan for external evaluator(s).	RN/Team	7/2011	8/2011		

2.5	Agreement on format and review process of the annual evaluation reports.	RN/Team	9/2011	Ongoing		
2.6	Produce evaluation report	Team	8/2011	Ongoing		

Item #	Issue(s)	Date Presented	Resolution	Date Resolved

Approved by: ______________________________ ***Date:*** ____________________

10.0 Project Budget Summary

(The budget and costs reflected in the Project Plan should account for all resource labor, hardware, software, facilities, etc. required to achieve the stated scope and objectives. If the organization has a standard budget template, that can be used instead.)

Budget Categories		2010-2011 Fiscal Year	2011-2012 Fiscal Year	2012-2013 Fiscal Year	2013-2014 Fiscal Year	Total
a	Internal Resource Labor: *(estimate the number of hours that will be required to complete the project for the following types of personnel.)*					
	Executive Leadership	200 Hours	300 Hours	300 Hours	200 hours	1000 Hours
	District Area Management	300 hours	250 Hours	200 Hours	150 hours	900 Hours
	School Administration	100 Hours	100 hours	100 hours	100 Hours	400 hours
	Classroom Personnel					
b	External (Contract) Resource Costs: *List provider(s) / amount(s) Ex: Transcend / $35,000	$400,000	$500,000	$500,000	$500,000	$1,900,000
c	Materials and Supplies: *(please list)*					
d	Project Expenses: *(i.e., travel, registration fees, etc.)*	Training Trainers (4): $50,000				$50,000
e	Training: *(please list)*	Training staff (project managers etc): $50,000				$50,00
f	Other: *(please list)*					
TOTAL ***(sum rows b-f)***		**$500,000**	**$500,000**	**$500,000**	**$500,000**	**$2,000,000**

Approved by: ______________________________ ***Date:*** ____________________

11.0 Project Communications Plan

(Use the table below to record the project communications plan: what needs to be communicated, when, and to whom.)

Audience	Key Message	Desired Outcome	Date to Issue Communication	Method of Communication	Person Responsible for Communication	Status
Team Members	Progress report	Updates shared among members	Weekly meetings	Face-to-face meetings, emails	Project Team	Ongoing
SPOC	Results impact policy, milestones update	Guidance on unexpected/ irregular activities	Quarterly or as needed	Meetings, emails	Project Team	Ongoing
Projrct Managers	Consultation on Program Evaluation Activities	Evaluation process is on the right track	As often as needed	Face-to-face meetings, emails	Project Team	Ongoing

Approved by: ______________________________ ***Date:*** ____________________

12.0 Team Member Signatures

(Hold a review of the project plan with the team members and obtain their agreement to participate. Each team member's signature represents his or her agreement to participate in this effort.)

Team Member - Agreement to Participate					
Name	**Organization**	**Project Role**	**Level of Effort**	**Signature**	**Date**

13.0 Revision History

(Any changes to the information in this document must be itemized below. To validate the change, signature approval must be obtained. Repeat table for each change cycle.)

Revision Date:		
Description of Change:		
Signature Approval of Change		
Organization / Rep	**Signature**	**Date**
Executive Sponsor:		
Project Manager:		
PMO, Director:		
IT Officer:		

Team Member - Approval of Change		
Organization / Rep	**Signature**	**Date**
Executive Sponsor:		
Project Manager:		
PMO, Director:		
IT Officer:		

14.0 Project Directory

(Use the table below to record the names and contact information of all members of the Project Team.)

Name	Address	Phone	Email
Nozoe, Ronn	Deputy Superintendent	586-3313	Ronn_nozoe@notes.k12.hi.us
Fujimoto-Saka, Donna	Evaluation Specialist	735-8250	Donna_Fujimoto-saka@notes.k12.hi.us
Igarashi, Clyde	Evaluation Specialist	735-8250	clyde_igarashi@notes.k12.hi.us
Wang, Jerry	Evaluation Specialist	735-8250	jerry_wang@notes.k12.hi.us
Watkins-Victorino, Lisa	Evaluation Specialist	733-4008	lisa_watkins-victorino@notes.k12.hi.us

Recipient Report: Grant or Loan **Version: 1.6**

Prime Recipient

Reporting Information

Award Type*	Award Number*	Final Report*
Grant	S395A100051	N

Award Recipient Information

Recipient DUNS Number*	Recipient Account Number	Recipient Congressional District*
809930217	38800, 38801, 38802, 38803, 38804, 38810,38811, 38812, 38813, 38814, 38815, 38816, 38817, 38818, 38819,38820, 38821, 38822, 38823, 38824, 38825, 38826, 38827, 38828, 38829, 38830, 38831, 38832, 38833, 38834, 38835, 38836, 38837, 38838, 38839	01

Award Information

Funding Agency Code*	Awarding Agency Code*	Award Date*
9146	9146	09/27/2010

Amount of Award*	**CFDA Number***
$74,934,761.00	84.395
Program Source (TAS)*	**Sub Account Number for Program Source (TAS)**
91-1909	N/A
Total Number of Sub Awards to Individuals*	**Total Amount of Sub Awards to Individuals***
0.00	$0.00
Total Number of Payments to Vendors less than $25,000/award*	**Total Amount of Payments to Vendors less than $25,000/award***
0.00	$0.00
Total Number of Sub Awards less than $25,000/award*	**Total Amount of Sub Awards less than $25,000/award***
0.00	$0.00

Award Description*

The purpose of the Race to the Top Fund is to encourage and reward States that are creating the conditions for education innovation and reform; achieving significant improvement in student outcomes; and implementing ambitious plans in the four core education reform areas: Achieving equity in teacher distribution; improving collection and use of data; raising standards and assessments; and supporting struggling schools.

Number of characters entered: 425

Project Information

Project Name or Project/Program Title*	Project Status*	Total Federal Amount ARRA Funds Received/Invoiced*
Race to the Top (RTTT)	Less than 50% completed	$0.00

Number of Jobs*	Description of Jobs Created*
7.46	In the quarter ended 3/31/11 21 full time salaried positions were filled. There were 3 institutional analysts, 1 secretary, 1 clerk typist, and 16 district office teachers positions filled. Their total hours worked, including that of the substitute teachers amounted to 3,880.22 hours which translated into 7.46 FTE. Number of characters entered: 318

Quarterly Activities/Project Description*

Grant was awarded on September 27, 2010. Planning continues based upon the stated objectives in the State of Hawaii Department of Education's RTTT application. The Hawaii Department of Education worked with Ms. Melissa Siry at the U.S. Department of Education and obtained approval of the Scope of Work on March 22, 2011. In addition, Governor Abercrombie obtained permission from the U.S. Department of Education to allow funds to be drawn directly by the Hawaii Department of Education on February 17, 2011. In the quarter ended 3/31/11 21 full time salaried positions were filled. There were 3 institutional analysts, 1 secretary, 1 clerk typist, and 16 district office teacher positions filled. Their total hours worked, including that of substitute teachers amounted to 3,880.22 hours which translated into 7.46 FTE. As of April 8, 2011 the DOE has not yet drawn down any of the Race to the Top Grant.

Number of characters entered: 913

Activity Code (NAICS or NTEE-NPC)*

1	B03.03	2	
3		4	
5		6	
7		8	
9		10	

Total Federal Amount of ARRA Expenditure*	Total Federal ARRA Infrastructure Expenditure	Infrastructure Contact Name
$202,072.54		
Infrastructure Contact Email	**Infrastructure Contact Phone**	**Infrastructure Contact Phone Ext**
Infrastructure Contact Street Address 1	**Infrastructure Contact Street Address 2**	**Infrastructure Contact Street Address 3**
Infrastructure City	**Infrastructure State**	**Infrastructure ZIP Code+4**

Infrastructure Purpose and Rationale

Number of characters entered: 0

Primary Place of Performance

Street Address 1	Street Address 2	City*
Optional	Optional	Honolulu
State*	**ZIP Code+4***	**Congressional District***
HI	968132403	01
Country*		
US		

Recipient Highly Compensated Officers

Prime Recipient Indication of Reporting Applicability*	#	Officer Name	Officer Compensation
No	1	N/A	$0.00
	2	N/A	$0.00
	3	N/A	$0.00
	4	N/A	$0.00
	5	N/A	$0.00

	Department of Education 1512 Jobs Worksheet : RTTT Quarter Ended March 31, 2011						
Detail		Gross	Hourly	Calculated	Per		
Prog ID	OBJECT DESCRIPTION	Pay	Rate	Hours	Time Sheet	Total	
38800	INSTIT ANALYST	7,208.72	41.59	173.33	0	173.33	
	INSTIT ANALYST	3,270.22	37.73	86.67	0	86.67	
	SECRETARY	3,017.96	17.34	174.05	0	174.05	
	INSTIT ANALYST	7,208.92	41.59	173.33	0	173.33	
38802	CLERK TYPIST	3,025.10	11.72	258.11	0	258.11	
38804	DISTRICT OFFICE TEACHER	7,164.24	39.18	182.85	0	182.85	
	DISTRICT OFFICE TEACHER	8,103.99	33.18	244.24	0	244.24	
	DISTRICT OFFICE TEACHER	3,889.04	31.9	121.91	0	121.91	
	SUBSTITUTE TEACHER				33	33.00	
	DISTRICT OFFICE TEACHER	9,552.32	39.18	243.81	0	243.81	
	DISTRICT OFFICE TEACHER	4,919.54	40.35	121.92	0	121.92	
	DISTRICT OFFICE TEACHER	11,073.92	45.42	243.81	0	243.81	
	DISTRICT OFFICE TEACHER	11,405.92	46.78	243.82	0	243.82	
	DISTRICT OFFICE TEACHER	1,887.85	30.97	60.96	0	60.96	
	DISTRICT OFFICE TEACHER	6,498.81	35.53	182.91	0	182.91	
	DISTRICT OFFICE TEACHER	8,688.42	47.41	183.26	0	183.26	
	DISTRICT OFFICE TEACHER	7,244.16	39.61	182.89	0	182.89	
	DISTRICT OFFICE TEACHER	8,394.86	47.47	176.85	0	176.85	
	DISTRICT OFFICE TEACHER	7,417.88	30.42	243.85	0	243.85	
	DISTRICT OFFICE TEACHER	6,248.85	34.17	182.88	0	182.88	
	DISTRICT OFFICE TEACHER	10,751.20	44.09	243.85	0	243.85	
	DISTRICT OFFICE TEACHER	4,829.44	39.61	121.92	0	121.92	
	Grand Total					-	
				Total hours		3,880.22	hours
				Hours avail / quarter		520	
				Jobs created/saved for the quarter		**7.46**	FTE jobs created/saved for the quarter

Provisions Included in all Hawaii Department of Education Solicitation Documents for Race to the Top and ARRA-Related Projects

Office of Fiscal Services, Procurement Director: The Procurement and Contracts Branch will include provisions in all solicitation documents (e.g. Information for Bids, Requests for Proposals) which are attached to the public notice announcing our intention to solicit bids or proposals for the various SFSF/ARRA/RTTT projects

1. FEDERAL FUNDS

1.1. Availability of Funds and Use of Funds – This contract may involve the use of federal funds such as American Recovery and Reinvestment Act of 2009, Public Law 111-5 (“ARRA”) funds.

The STATE and CONTRACTOR shall be guided by and subject to the provisions of all Federal and State regulations, directives, guidance and circulars issued for the purposes of implementing the federal program standards.

STATE shall provide the CONTRACTOR with specific Federal and/or State requirements including but not limited to reporting requirements, funding allocations, and timeframes, as they are issued or are otherwise made available to the STATE by the Federal and State government, which requirements shall be binding on the CONTRACTOR as a condition of the CONTRACTOR’s performance and as a condition of receipt of funds under this agreement.

It is expressly understood and agreed that the obligation of the STATE to proceed under this contract is conditioned upon the appropriation of funds by the federal government and/or the appropriation of funds by the Hawaii State Legislature and the receipt of federal and/or state funds. If the funds anticipated for the continuing fulfillment of the agreement are, at anytime, not forthcoming or insufficient, either through the failure of the Federal government to provide funds of the of the State of Hawaii to appropriate funds or the discontinuance or material alteration of the program under which funds were provided or if funds are not otherwise available to the STATE, the STATE shall have the right to terminate this agreement without damage, penalty, cost or expenses to the State of any kind whatsoever. The STATE shall notify the CONTRACTOR of its right to terminate this agreement in writing. The effective date of termination shall be as specified in the notice of termination.

1.2. Suspension and/or Debarment – CONTRACTOR certifies that neither it nor its principals: (a) are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transaction by any federal department or agency; (b) have, within a three (3) year period preceding this Contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state anti-trust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property; (c) are presently indicted or otherwise criminally or civilly charged by a governmental entity with the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state anti-trust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements of receiving stolen property, an d(d) have, within a three (3) year period preceding this Contract, had one or more public transactions (federal, state or local) terminated because of default. See Excluded Parties List System at www.epls.gov.

1.3. AARA General Provisions – If this contract utilizes ARRA funds, the CONTRACTOR agrees to comply with all applicable requirements of the American Recovery and Reinvestment Act of 2009 and related regulations including but not limited to, the following:

- ☐☐ Sections 902 and 1515 which provides that each contract awarded using ARRA fund shall provide that the Comptroller General and his representative are authorized to (1) examine any records of the contractor or any of its subcontractors, or any State or local agency administering such contract, that directly pertain to, and involve transactions relating to, the contract or subcontract; and (2) to interview any officer or employee of the contractor or any of its subcontractors, or of any State or local government agency administering the contract, regarding such transaction.
- ☐☐ Section 1512, Reporting and Registration Requirements
- ☐☐ Section 1553, Whistleblower Protection
- ☐☐ Section 1604, Prohibition on Use of ARRA Funds
- ☐☐ Section 1605, Required Use of American Iron, Steel, and Manufactured Goods Not Covered Under International Agreements
- ☐☐ Section 1606, Wage Rate Requirements
- ☐☐ Section 1609, National Environmental Policy Act and the National Historic Preservation Act
- ☐☐ Recipient Responsibilities Regarding Tracking and Documenting Expenditures

These requirements are applicable to any subcontracts, if any, and CONTRACTOR shall include the language provided in the above paragraph in all of its contracts with subcontractors who are performing work funded in whole or in part with ARRA funds pursuant to this contract.

1.4. Budget/Fiscal Provisions – The CONTRACTOR shall provide the actual number of hours worked on the project and the number of jobs directly created or retained by the end of the contract. Include a narrative description of the employment impact. For a sample of how to calculate number of jobs created or retained, see the following website on pages 10 – 15 (5.2, 5.3, 5.4).
http://www.whitehouse.gov/sites/default/files/omb/assets/memoranda_2010/m10-08.pdf

NEIL ABERCROMBIE
GOVERNOR

KATHRYN S. MATAYOSHI
SUPERINTENDENT

STATE OF HAWAII
DEPARTMENT OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAII 96804

04/14/2011

TO: Assistant Superintendents
Complex Area SuperintendentsPrincipals (All)
Superintendent's Office Directors

c: Deputy Superintendent
Charter School Administrative Office

FROM: Kathryn S. Matayoshi, Superintendent
Office of the Superintendent

SUBJECT: Use of Mobile Electronic Devices

This memo supersedes Superintendent Hamamoto's memo of June 12, 2009 titled "NEW City Ordinance – Illegal to Operate Motor Vehicle While Using a Mobile Electronic Device."

Superintendent Hamamoto's June 12, 2009 memo prohibited Department of Education (DOE) employees from using a telecommunication device, whether hand-held or hands-free, while driving. This applies to employees statewide, and also applies to employees while driving on the mainland or in foreign countries on DOE business.

This prohibition applies to texting and checking or sending email, and applies to laptops, I-pads, and any and all existing and yet-to-be-invented devices that have the capability of diverting a driver from being 100% attentive to driving.

The City and County of Honolulu's ban on the use of a mobile electronic device while driving became effective on July 1, 2009. This ban included, but not limited to a hand-held cellular phone, while operating a motor vehicle in the City and County of Honolulu.

This ban stimulated requests for the purchase of Bluetooth and other hands-free devices to allow telephone use while driving, and stimulated discussion about the safety of talking on the telephone while driving, even if it is hands-free.

In January 2009 the Honolulu Star Bulletin published an editorial with these remarks on cell phone use:

> Study after study for more than a decade has concluded that talking on a cell phone while driving is dangerous, even if the phone is hands-free.
>
> Laws that ban hand-held cell phone use are premised on the assumption that the distraction caused by use of the devices is physical. In fact, as studies have shown, the distraction is cognitive. "It's not just what you're doing with your hands," says Janet Froetscher, president and chief executive of the National Safety Council. "It's that your

head is in the conversation and so your eyes are not on the road.

Most drivers know as much by mere observation but seem to tolerate inattention by drivers as a new fact of modern-day life. Studies have kept track of the consequences:

» Eighty percent of traffic accidents are related to driver inattention, and the No. 1 source of driver inattention is cell phones, according to a 2001 study by Virginia Tech Transportation Institute for the National Highway Traffic Safety Administration.

» The annual cost of crashes caused by cell phone use is $43 billion, according to the Harvard Center for Risk Analysis.

» A study published 12 years ago in the New England Journal of Medicine found that the risk of a collision while using a cell phone quadrupled, about the same as for legal intoxication.

"When our friends have been drinking, we take the car keys away," says Froetscher. "It's time to take the cell phone away."

Employees who absolutely need to use a communication device while driving should pull safely off the road (but not on a freeway!) before using it.

The DOE will not authorize the purchase of a device that enables hands-free use of a portable telephone or other communication device.

If you have any questions, please contact Mark Behrens, Acting Director, Safety, Security, and Emergency Preparedness Branch at (808) 586-3457.

KSM:RGM:ck

11-04-14 Use of Mobile Devices.pdf

Maintenance of Efforts (General Funds Only) - American Recovery & Reinvestment Act (ARRA)
as Submitted on the Initial Application and Subsequent Updates
Application Reflects Appropriations/Allocations With Adjustments

	DEPARTMENT OF EDUCATION	FY06 Act 178, SLH 2005 FY2006	FY08 Act 213, SLH 2007 FY2008	Act 158, SLH 2008 FY2009
G.1	EDN100 - School Based Budgeting	1,207,587,227	774,244,048	772,086,697
G.2	EDN150 - Comprehensive Student Support Services	306,689,072	361,156,533	355,373,685
G.3	EDN200 - Instruction Support	27,027,762	34,454,113	33,297,750
G.4	EDN300 - State and Complex Area Administration	32,399,578	50,381,509	55,557,715
G.5	EDN400 - School Support	148,651,458	170,290,488	169,455,447
G.6	EDN500 - School Community Services	10,593,211	11,035,725	8,792,776
G-7	EDN600 - Charter Schools	30,796,584	51,635,990	57,745,483
G.12	EDN407 - Public Libraries	26,120,761	30,556,588	29,967,463
		1,789,865,653	1,483,754,994	1,482,277,016
	Adjustments:			
G.8	EDN941 - Retirement Benefits Payments - DOE	-	217,887,927	292,266,171
G.9	EDN943 - Health Premium Payments - DOE	-	167,498,112	179,194,071
G.10	EDN915 - Debt Service Payments - DOE	-	226,612,463	236,896,511
	Risk Management (AGS203 details)			-
	Collective Bargaining Allocation (see Exec Memo)	24,320,507	45,921,649	85,096,994
	Restrictions (see Exec Memo)			(41,284,353)
	fringe			
	which was transferred to DOE in FY08)	8,244,865		
	Adj ustment			(149,626)
	Furlough Adjustments - DOE (Allocations)			
	Furlough Adjustments - CHTR (Allocations)			
	Furlough Adjustments - LIB (Allocations)			
		32,565,372	657,920,151	752,019,768
		1,822,431,025	2,141,675,145	2,234,296,784

	DEPARTMENT OF EDUCATION	Item #	FB09-11 Act 162, SLH 2009 FY2010	FB09-11 Act 162, SLH 2009 FY2011	FY11 SUPPL Act 180, SLH 2010 FY2011 Suppl
G.1	EDN100 - School Based Budgeting	G.1	753,950,947	753,950,947	705,256,507
G.2	EDN150 - Comprehensive Student Support Services	G.2	368,188,673	368,291,497	306,472,682
G.3	EDN200 - Instruction Support	G.3	29,037,169	29,037,169	22,430,453
G.4	EDN300 - State and Complex Area Administration	G.4	51,432,190	51,432,190	42,517,962
G.5	EDN400 - School Support	G.5	184,814,106	184,714,106	171,837,016
G.6	EDN500 - School Community Services	G.6	8,674,528	8,674,528	4,918,832
G-7	EDN600 - Charter Schools	G-7	52,732,012	52,746,554	53,761,508
G.12	EDN407 - Public Libraries	G.12	28,847,163	28,847,163	28,847,163
			1,477,676,788	1,477,694,154	1,336,042,123
	Adjustments:				
G.8	BUF745 - Retirement Benefits Payments - DOE	G.8	267,058,948	270,397,184	249,726,061
G.9	BUF765 - Health Premium Payments - DOE	G.9	182,617,125	197,937,761	206,597,259
G.10	BUF725 - Debt Service Payments - DOE	G.10	194,793,118	204,995,708	194,855,477
K.29	Risk Management (AGS203 details)		5,598,603	5,598,603	5,598,603
	Collective Bargaining Allocation				
	Restrictions				
	Furlough Adjustments - DOE (Allocations)		(127,702,886)	(142,666,985)	-
	Furlough Adjustments - CHTR (Allocations)		(3,791,952)	(4,246,467)	-
	Furlough Adjustments - LIB (Allocations)		(2,780,988)	(2,966,390)	-
			515,791,968	529,049,414	656,777,400
			1,993,468,756	2,006,743,568	1,992,819,523

	University of Hawaii	FY06 Act 178, SLH 2005 FY2006	FY08 Act 213, SLH 2007 FY2008	Act 158, SLH 2008 FY2009
G.14	UOH100 - University of Hawaii, Manoa	222,737,245	237,907,514	255,006,574
G.15	UOH210 - University of Hawaii, Hilo	21,920,835	32,885,531	35,636,988
G.16	UOH220 - Small Business Development	637,167	993,167	993,167
G.17	UOH700 - University of Hawaii, West Oahu	2,682,442	5,378,427	6,319,148
G.18	UOH800 - University of Hawaii, Community Colleges	78,402,061	113,037,183	125,510,941
G.19	UOH900 - University of Hawaii, System Wide Support	264,527,756	41,759,019	39,709,051
H.1	UOH881 - University of Hawaii, Aquaria	541,327	613,504	699,753
		591,448,833	432,574,345	463,875,622
	Adjustments:			
G.20	UOH941 - Retirement Benefits Payments - UH	-	93,215,574	117,780,217
G.21	UOH943 - Health Premium Payments - UH	-	60,826,187	58,968,768
G.22	UOH915 - Debt Service Payments - UH	-	83,868,969	87,675,081
	Risk Management (AGS203 details)	-	-	-
	Collective Bargaining Allocation (see Exec Memo)	3,102,465	4,496,048	9,909,444
	Restrictions (see Exec Memo)			(7,908,108)
	Furlough Adjustments - UH (Allocations)			
		3,102,465	242,406,778	266,425,402
		594,551,298	674,981,123	730,301,024

	University of Hawaii	Item #	FB09-11 Act 162, SLH 2009 FY2010	FB09-11 Act 162, SLH 2009 FY2011	FY11 SUPPL Act 180 SLH 2010 FY11 Suppl
G.14	UOH100 - University of Hawaii, Manoa	G.14	225,795,228	225,795,228	195,608,949
G.15	UOH210 - University of Hawaii, Hilo	G.15	33,444,636	33,544,636	28,999,710
G.16	UOH220 - Small Business Development	G.16	993,167	993,167	978,941
G.17	UOH700 - University of Hawaii, West Oahu	G.17	6,100,808	6,100,808	5,274,565
G.18	UOH800 - University of Hawaii, Community Colleges	G.18	119,075,434	119,075,434	103,934,143
G.19	UOH900 - University of Hawaii, System Wide Support	G.19	36,520,580	36,520,580	25,319,222
H.1	UOH881 - University of Hawaii, Aquaria	H.1	661,352	661,352	571,746
			422,591,205	422,691,205	360,687,276
	Adjustments:				
G.20	BUF748 - Retirement Benefits Payments - UH	G.20	118,195,306	119,672,747	115,035,818
G.21	BUF768 - Health Premium Payments - UH	G.21	63,937,201	69,839,777	73,122,208
G.22	BUF728 - Debt Service Payments - UH	G.22	72,092,672	75,868,637	72,115,751
K.29	Risk Management (AGS203 details)		3,638,000	3,638,000	3,638,000
	Collective Bargaining Allocation				
	Restrictions				
	Furlough Adjustments - UH (Allocations)		(52,086,738)	(54,703,929)	
			205,776,441	214,315,232	263,911,777
			628,367,646	637,006,437	624,599,053

Monitoring for Waste, Fraud and Abuse
Race to the Top Grant

The State of Hawaii uses existing internal controls and oversight measures to manage ARRA funds. However, these internal controls and oversight measures have been supplemented to meet the requirements of the ARRA. A description of these additional internal controls and oversight measures are referred to as the Hawaii ARRA Accountability System (HARRAAS). A copy of HARRAAS can be found at http://hawaii.gov/recovery/accountability-transparency/HARRAAS%20version%201.26.10.pdf.

In general, Hawaii has a decentralized system for managing ARRA funds. Head of state entities play a primary role in establishing appropriate internal controls and oversight measures for their organization to prevent waste, fraud, and abuse in the use of ARRA funds.

To monitor waste, fraud, and abuse for the Race to the Top grant the following measures have been established:

1. Heads of state entities are required to review waste, fraud, and abuse training materials and appropriate Office of Management and Budget (OMB) circulars and provide these materials to key members of their ARRA recovery team. Suspicion of waste, fraud, or abuse should be reported to the Hawaii Department of Attorney General or the United State Department of Education.
2. All state entities must: (a) establish a unique appropriation symbol for each ARRA grant (by federal award ID) in FAMIS - including sub recipients of ARRA grants; (b) use the fund code “V” and the source code”0581” for revenue draw downs in FAMIS.
3. The Hawaii DOE will establish additional project level codes based on Hawaii’s approved Race to the Top Scope of Work.
4. To detect waste, fraud, or abuse, on a quarterly basis the Superintendent or designee shall review the expenditure report submitted as part of the 1512 reporting process.
5. To detect waste, fraud, or abuse, on a quarterly basis the Governor’s Authorized Representative (GAR) or designee shall review the expenditure report submitted as part of the 1512 reporting process.
6. The Superintendent or designee shall certify the 1512 report as accurate before the report is uploaded by the submission deadline.
7. The Superintendent or designee shall respond in a timely manner to any issues noted on the 1512 report by the OERR and/or federal reviewer after the report has been submitted.
8. The HARRAAS uses the 1512 reporting process to verify key financial information being reported to the federal government against financial data in the State of Hawaii’s official accounting system known as FAMIS. The Office of

Recovery and Reinvestment (OERR) at the Department of Budget and Finance independently verifies the following information on the 1512 report that has been submitted on a quarterly basis:

- Each ARRA award by federal award ID has a unique state appropriation symbol and that transactions for each ARRA award are conducted within a single state appropriation symbol;
- The “Amount of Award” on the 1512 report matches the award amount in the federal award letter;
- ARRA funds use the MOF designation “V” in FAMIS;
- Cash draw downs for ARRA awards are assigned revenue source code “0581” in FAMIS;
- Revenue and expenditure amounts (cumulative totals) on the 1512 report matches the amount recorded in FAMIS;
- Vendor payments $25,000 and under as recorded in FAMIS (including p-card charges) are reported in the aggregate (total amount and total number of vendors) in the “Project/Award Information” section of the 1512 report;
- Vendor payments over $25,000 as recorded in FAMIS (including p-card charges) are reported individually on the 1512 vendor page;
- A worksheet showing how vendor payments are calculated has been submitted to OERR for each ARRA award;
- A worksheet showing how the “Number of Jobs” amount was calculated (reported in ‘full time equivalents’) has been submitted to OERR for each ARRA award subject to the 1512 reporting requirements;
- The “Number of Jobs” amount on the 1512 report matches the amount on the job calculation worksheet submitted to OERR for each ARRA award subject to the 1512 reporting requirements;
- And, the narratives entered in the “Award Description” and “Quarterly Activities/Project Description” fields are updated and provide sufficient detail to the public.